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CIVIL SERVICE JOURNAL

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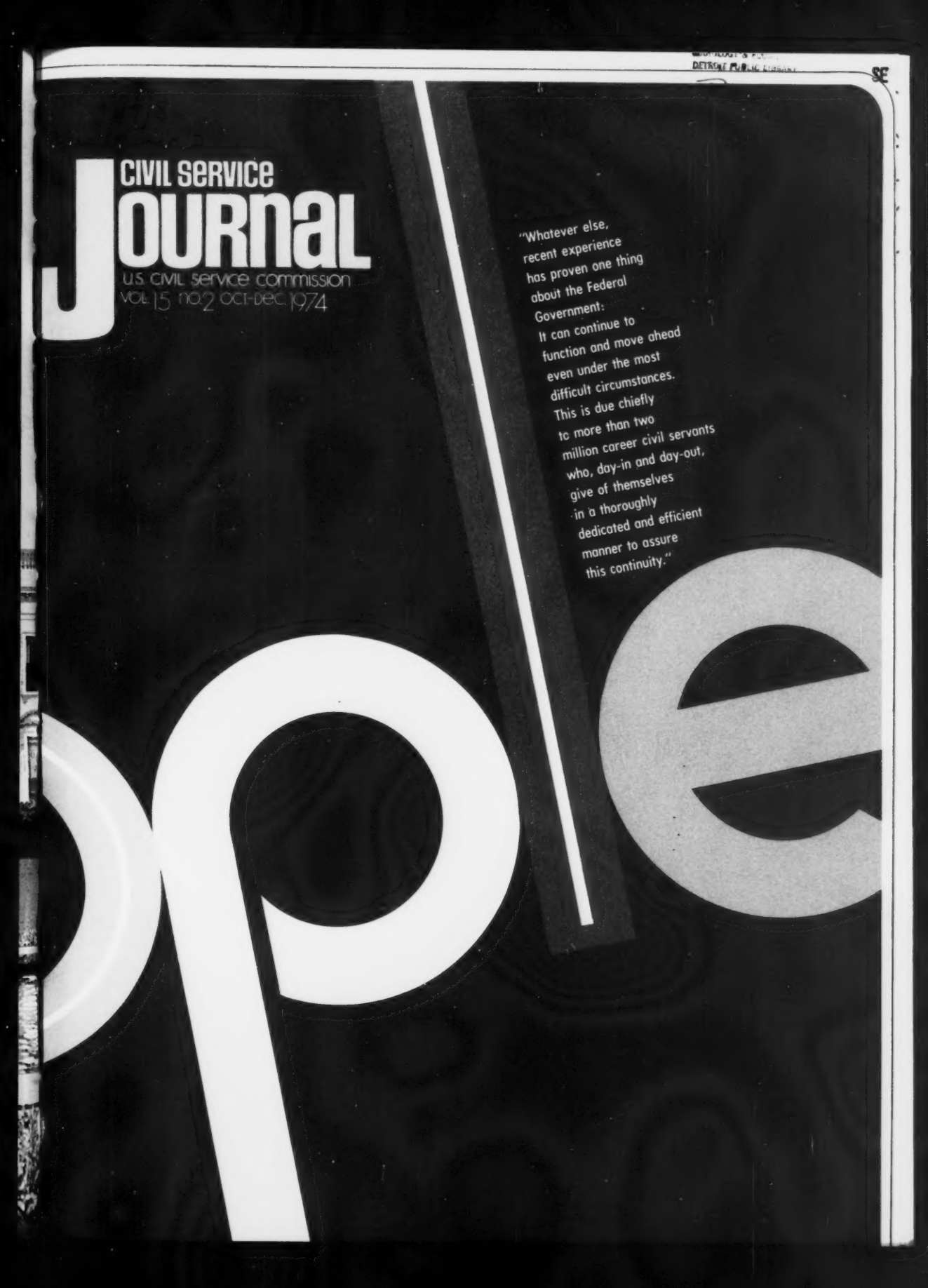
"Whatever else, recent experience has proven one thing about the Federal Government: It can continue to function and move ahead even under the most difficult circumstances. This is due chiefly to more than two million career civil servants who, day-in and day-out, give of themselves in a thoroughly dedicated and efficient manner to assure this continuity."



CIVIL SERVICE JOURNAL

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U.S. CIVIL SERVICE COMMISSION

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Executive Director Bernard Rosen

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WORTH NOTING

☐CONSERVE ENERGY. The President has directed Federal agencies to hold energy consumption levels 15 percent below the amount consumed in fiscal 1973. Last year, action by Federal agencies saved the equivalent of 90 million barrels of oil.

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☐MINORITY EMPLOYMENT in Federal full-time nonpostal jobs increased nearly 1 percent (.9) during the 1-year period ending November 30, 1973, despite a continuing decline in total employment.

As of November 30, 1973, gains for Negroes, Spanish-surnamed Americans, American Indians, and Oriental Americans totaled 3,113 jobs in Federal agencies other than the U.S. Postal Service, increasing from 363,347 in November 1972. Including postal employment, minorities held 20.9 percent of all full-time Federal jobs in November 1973.

The Civil Service Commission attributes employment gains for minorities to vigorous implementation of Federal agency equal employment opportunity programs required by Executive Order 11478 and increased enforcement activity by the Commission under provisions of the Equal Employment Opportunity Act of 1972.

The most significant minority gains occurred in white-collar jobs under the General Schedule (GS). While total employment in this category dropped by 23,266 jobs or 1.7 percent, minority employment increased 217 percent or 5,666 jobs. Minorities held 16.7 percent of all full-time positions under the General Schedule and similar pay plans in November 1973, up from 16.0 percent in November 1972.

Most of the minority gains in the General Schedule occurred in the better paying jobs. The number of minorities employed and their percentage increased in the middle and higher grades, although there were slight decreases in the top-level jobs.

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(Continued—See Inside Back Cover)

people

on
behalf of
the people

A PLUS FOR EFFECTIVE GOVERNMENT

by
Bernard Rosen, *Executive Director*
U.S. Civil Service Commission

In the Federal Government's 91st year under the merit system, and its 36th year of modern personnel management, the career civil service system found itself under attack.

In itself, this is nothing new. The service has often been the target of spasmodic sniping. But for the first time in many decades the career service found itself being assaulted in a systematic manner.

The system survived. There was damage, but the system survived—in fact will emerge stronger. And it seems clear to me that the winners of this intense engagement are the people of the United States.

The people are the winners because more effective government is the prize. The need for effective government is the basic reason for the existence of the merit system. The nation made that choice in 1883. And in 1975, having withstood efforts to run the calendar back to 1882—or at least part way back, the merit system now has its best opportunity to realize the full promise of civil service reform by helping to bring about increasingly effective governmental operations.

Evidence of Abuses

During the past 2 years, the Civil Service Commission discovered evidence of significant abuses of the merit system in some agencies. These abuses basically involved preferential treatment for favored individuals, sometimes for political purposes. Sometimes personal rather than political preference was involved, but the result was equally corrosive.

These cases were few in number compared to the 200,000 new appointments each year, chosen on a competitive basis. And yet abuses occurring in far less than 1 percent of all personnel actions had a serious impact on employee attitudes and on public perception of the merit system. It is not unreasonable to assume that it also had an adverse impact on employee performance.

As part of a new attention to long-range planning and self-renewal begun in 1971, the Commission has been systematically looking at policies, procedures, and practices that might be inconsistent with achieving personnel operations under merit principles. The merit system, in existence for nearly a century, draws part of its strength from an assumption—the assumption of its use and operation by people who have a deep respect for laws and public policy. But our review has identified a number of areas in which there is potential for abuse by those who lack this understanding or are otherwise motivated.

About the same time, several special investigations by the Commission disclosed illegal actions in some of these areas. Following these investigations we required

prompt corrective action by agencies, including an immediate end to improper referrals, and we started disciplinary action against individuals where it was warranted.

Request for White House Support

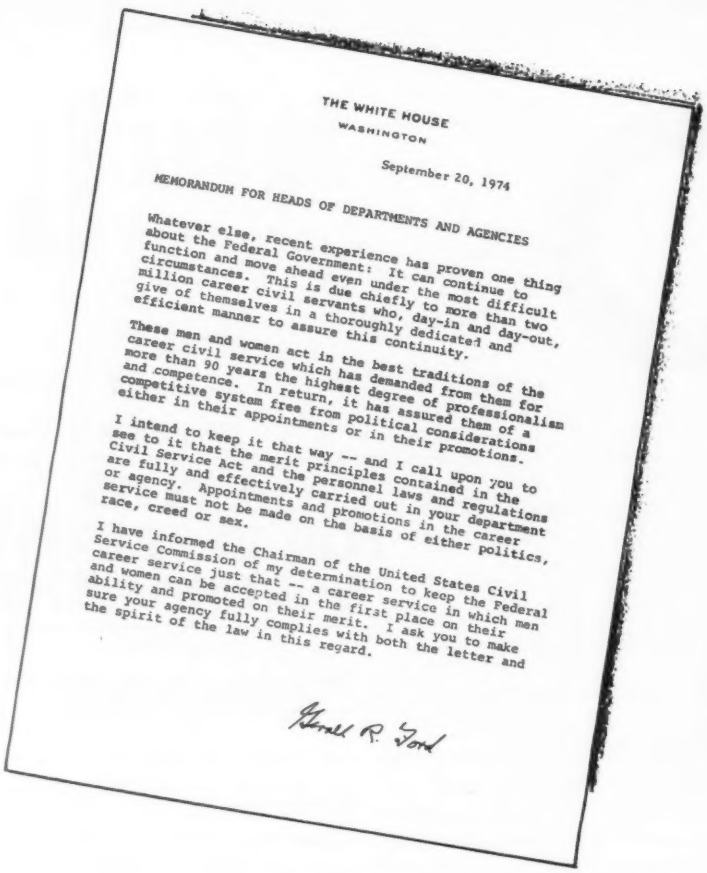
The Commission regarded the conditions disclosed early in our investigations in 1973 as sufficiently serious to seek a White House directive addressed to heads of departments and agencies on the need to assure the integrity of the merit system.

Soon after Gerald Ford was sworn in as President in August 1974, the Commission's concern was again communicated, and we were gratified that the new President quickly issued (September 20, 1974) a forthright statement to heads of all departments and agencies. The President advised them not only of his strong commitment to merit principles and the civil service system, but also of his unequivocal expectation that top management throughout the executive branch would do whatever is necessary to assure the integrity of that system in the day-to-day operations of the Federal Government.

On October 7, 1974, Civil Service Commission Chairman Robert Hampton followed up the President's memorandum with a message of his own, identifying the most important implications of the President's directive in terms of the responsibilities shared by Federal executives, managers, and supervisors in assuring lawful personnel management.

The Chairman called for a personal commitment to the integrity of day-to-day personnel operations. He further requested department and agency heads to report specific actions they are taking in response to the President's call for integrity in personnel matters.

Ten days after Chairman Hampton's memorandum, I outlined to agency personnel directors how the Commission was approaching this task of insuring the integrity of the merit system in three phases.



THE WHITE HOUSE

WASHINGTON

September 20, 1974

MEMORANDUM FOR HEADS OF DEPARTMENTS AND AGENCIES

Whatever else, recent experience has proven one thing about the Federal Government: It can continue to function and move ahead even under the most difficult circumstances. This is due chiefly to more than two million career civil servants who, day-in and day-out, give of themselves in a thoroughly dedicated and efficient manner to assure this continuity.

These men and women act in the best traditions of the career civil service which has demanded from them for more than 90 years the highest degree of professionalism and competence. In return, it has assured them of a competitive system free from political considerations either in their appointments or in their promotions.

I intend to keep it that way -- and I call upon you to see to it that the merit principles contained in the Civil Service Act and the personnel laws and regulations are fully and effectively carried out in your department or agency. Appointments and promotions in the career service must not be made on the basis of either politics, race, creed or sex.

I have informed the Chairman of the United States Civil Service Commission of my determination to keep the Federal career service just that -- a career service in which men and women can be accepted in the first place on their ability and promoted on their merit. I ask you to make sure your agency fully complies with both the letter and the spirit of the law in this regard.

Gerald R. Ford

Phased Action

The first phase was a requirement for immediate action in specific areas where we had identified potential for abuses. This went to the agencies formally through the issuance of a Federal Personnel Manual bulletin, and it called on agency management to take the following steps:

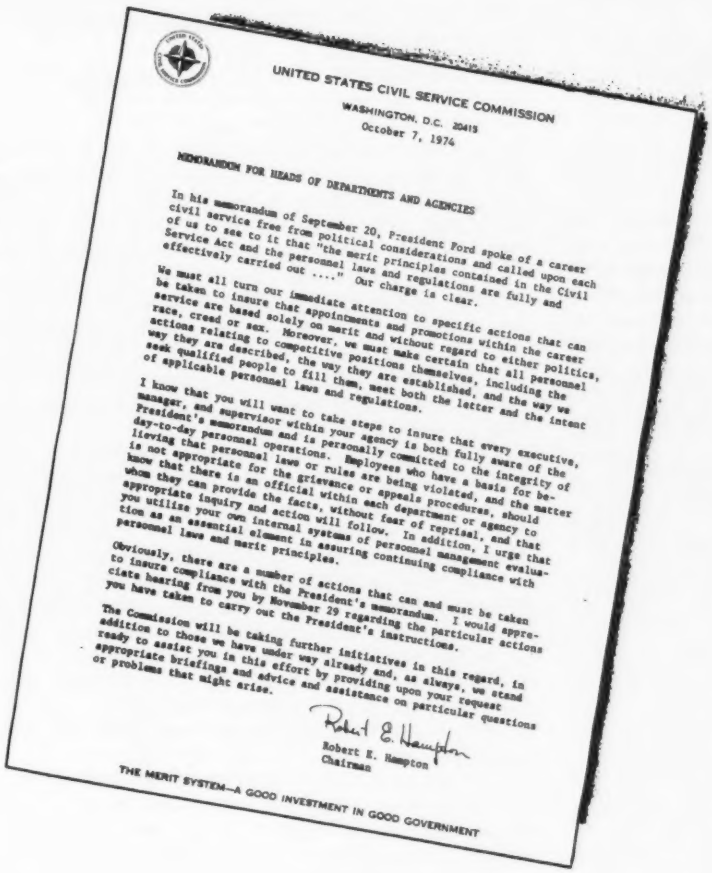
1. Insure the accuracy of position descriptions and require a new supervisory certification that points up the fact that the statement authorizes payment of public funds. Hence false or misleading statements may constitute violation of laws or regulations.

2. Insure that temporary appointment authority is not misused as a step to achieving permanent appointments.

3. Review Schedule C (exempt from competitive requirement) appointment authorizations to assure duties are accurately described and that the positions operate in accordance with the basis on which CSC approved the exemption.

4. Have current conflict-of-interest statements on file from those employees required to submit them.

5. Designate an official to whom employees, if they have reason to



UNITED STATES CIVIL SERVICE COMMISSION

WASHINGTON, D.C. 20415

October 7, 1974

MEMORANDUM FOR HEADS OF DEPARTMENTS AND AGENCIES

In his memorandum of September 20, President Ford spoke of a career civil service free from political considerations and called upon each of us to see to it that "the merit principles contained in the Civil Service Act and the personnel laws and regulations are fully and effectively carried out ...." Our charge is clear.

We must all turn our immediate attention to specific actions that can be taken to insure that appointments and promotions within the career service are based solely on merit and without regard to either politics, race, creed or sex. Moreover, we must make certain that all personnel actions relating to competitive positions themselves, including the way they are described, the way they are established, and the way we seek qualified people to fill them, meet both the letter and the intent of applicable personnel laws and regulations.

I know that you will want to take steps to insure that every executive, manager, and supervisor within your agency is both fully aware of the President's memorandum and is personally committed to the integrity of day-to-day personnel operations. Employees who have a basis for believing that personnel laws or rules are being violated, and that matter is not appropriate for the grievance or appeals procedures, should know that there is an official within each department or agency to whom they can provide the facts, without fear of reprisal, and that appropriate inquiry and action will follow. In addition, I urge that you utilize your own internal systems of personnel management evaluation as an essential element in assuring continuing compliance with personnel laws and merit principles.

Obviously, there are a number of actions that can and must be taken to insure compliance with the President's memorandum. I would appreciate hearing from you by November 29 regarding the particular actions you have taken to carry out the President's instructions.

The Commission will be taking further initiatives in this regard, in addition to those we have under way already and, as always, we stand ready to assist you in this effort by providing upon your request appropriate briefings and advice and assistance on particular questions or problems that might arise.

Robert E. Hampton

Robert E. Hampton
Chairman

THE MERIT SYSTEM—A GOOD INVESTMENT IN GOOD GOVERNMENT

believe personnel laws and rules have been violated, can provide the facts without fear of reprisal, and with confidence that appropriate inquiry and action will follow. This action is applicable to situations where grievance or appeals procedures are not appropriate.

6. Take steps to assure that managers and supervisors, as the primary personnel managers, fully understand their responsibility for maintaining the integrity of the merit system.

The second and third phases require more time for implementation. The second phase involves possible additional administrative actions that require extensive consultation with agencies and other interested parties. In the third phase we are examining the need for new legislation to strengthen the merit system and further insure integrity of personnel operations.

In considering policy and procedural changes, the Civil Service Commission fully recognizes the continuing need for delegating authority to agencies to take personnel actions. We have no intention of any blanket pullback of this authority. To do so would impose roadblocks to good management, and would detract from—not promote—effective government.

The Commission likewise recognizes the importance of Presidential appointments, Schedule C, and other Noncareer Executive authorities, which enable newly elected political leadership to establish the capacity to advocate and make new policies and thereby respond to mandates of the people.

And it is the need to assure a stable, high capacity for carrying out the policies of government that drives the Commission to strengthen and protect the merit system. For good government in our nation is not possible without a career civil service based on merit principles. Furthermore, the key to an effective civil service system is the manager and supervisor.

There are some managers and supervisors whose knowledge of the system is superficial, and who view merit requirements as unnecessary red tape and impediments to getting their work done. This attitude, primarily based on a shallow respect for law, ignorance of the merit system, or ignorance of their own responsibilities, has led some to make "beating the system" a way of life.

That way of life must come to an end. Managers and supervisors must understand that consideration of nonmerit factors in appointments and promotions is illegal, and that includes personal as well as political patronage. They must fully meet their responsibility for observing the personnel laws; they are accountable.

We have halted an assault on the foundations of the merit system. We are committed to further improving that system. We can and must demonstrate that a civil service system based on merit principles does mean more effective government—a national government in which the people of the United States can be confident that day-to-day operations are being carried out by honest, dedicated, and highly competent civil servants.

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PERSONNEL RESEARCH ROUNDUP

Personnel Research and Development Center

The Civil Service Commission's Personnel Research and Development Center, staffed with over 80 psychologically trained and support personnel, is the largest public personnel research and development center in the country. PRDC is a major component of the Bureau of Policies and Standards, and is involved in personnel research, examination development, and technical assistance to not only CSC and other Federal agencies but also State and local government agencies.

Under the Intergovernmental Personnel Act of 1970, the scope of the Commission's function has been enlarged to encompass new grant, technical assistance, and mobility programs serving State and local jurisdictions to improve personnel administration. With the passage of the Act, the functions of the Office of State Merit Systems of the U.S. Department of Health, Education, and Welfare were transferred to CSC, with the research psychologists becoming part of PRDC in 1972.

The Personnel Research and Development Center has as its director William A. Gorham, with Helen J. Cristrup as its associate director, and consists of four sections with the following chiefs: Applied Psychology, Kenneth R. Brown; Research, Richard H. McKillip; State and Local, Kenneth A. Millard; and Test Services, John D. Kraft.

The Center's forerunner was established in 1922 as the Research Division of the Commission, headed for many years by L. J. O'Rourke, and organized after consultation with John B. Watson, R. M. Yerkes, and Walter Dill Scott. Its early history was documented by Samuel Kavruck in the July 1956 issue of the *American Psychologist*, where he noted that the Center was organized after Beardsley Ruml made a survey of the Commission's examining procedures. Over the years, distinguished psychologists such as L. L. Thurstone, Marion Richardson, and Dorothy Adkins have served the Center.

A key function of PRDC involves the development of examinations used in selecting Federal workers. Currently 59 written tests exist, with some having as many as 24 alternate forms. The Center is involved in a wide variety of other functions. The following projects sample seven of the 80 ongoing projects and serve to highlight the direction in which the Center is heading:

Police Research. In 1924 the Commission was concerned with the selection of police, using judgment measures along with other tests to assess their performance. Fifty years later the CSC continues to find itself involved in police research, this time having among its activities a reimbursable technical assistance project with the New York State Police. The Primoff Job-Element and J-Coefficient techniques, developed at the Commission over a period of 27 years, are for the first time being applied on a large-scale basis to this nationally significant police job. This effort aims to create a model job-related examination that closely matches the requirements of the job; the hope is that it will prove to be transportable to other jurisdictions.

New examination for entry-level professional, administrative, and technical jobs. A recent research and development effort has resulted in the development of a new written examination for Federal entry-level (GS grades 5 and 7) professional, administrative, and technical jobs. The research effort was based on 27 occupational groups that accounted for 70 percent of the selections from the examination formerly used in recruiting college graduates and those with comparable qualifications. This effort will continue until the remaining occupations are studied, and will include those occupations not currently staffed through a written test.

The objectives of this R&D effort were to identify critical abilities required by these jobs; develop a test battery to measure these abilities; and establish a system for weighting these tests in keeping with the importance of each ability for each job. The new test battery is being administered for the first time this year.

Assessment centers. PRDC has recently given special attention to assessment at the executive end of the career ladder, seeking to identify the most promising GS 15-level managers as part of the Federal Executive Development Program. The finalists chosen on the basis of selection boards participated in a 2½-day assessment program consisting of simulated managerial exercises such as leaderless group discussions, an in-basket exercise, and a press conference. The finalists were evaluated chiefly by trained senior Federal managers on dimensions selected on the basis of job analyses of Federal executive jobs. Among the dimensions assessed were oral communication, stress tolerance, decisionmaking, use of delegation, and managerial control. Preliminary research findings are favorable. Thus the assessment center approach is being used again in the next Federal Executive Development Program for selecting and identifying future Federal managers. This is just one example of the increased use that the Federal Government is making of assessment centers. PRDC

has aided several agencies in getting their initial programs underway.

Tailored testing. Computer technology is being employed in investigating the possibility of automating testing procedures. This long-range R&D project aims to individualize testing by having candidates respond to carefully selected test items that are displayed on cathode-ray tubes. Test items will be selected from a computerized test-item data bank, using specially designed computer programs to identify items at the appropriate difficulty level for candidates. Early investigations based on model simulations have shown that more accurate estimates of ability can be made by administering a dozen carefully selected items rather than giving a general 100-item test. Should automation prove feasible, numerous benefits to candidates as well as to management are expected. Walk-in testing will be facilitated, with immediate feedback on results available to both parties involved. It will be possible to assess a wider range of abilities in a given period of time, and problems of test security should diminish.

Performance evaluation. The knotty problems that surround existing performance evaluation systems are being restudied, and have been attacked by a systematic analysis of problems, complaints, misuses, and successful features of operating programs in the many Federal agencies. The purpose for conducting performance evaluations has been formulated so as to give the employee and supervisor necessary information for making career planning decisions that are consistent with organizational and individual objectives. Chief emphasis has been on developing a set of principles to serve as criteria for successful programs. Essentially, the criteria require: (1) broadening the data base; (2) facilitating reciprocal relations between the organization and the employees; and (3) participation in the goal setting and decisionmaking process by the employee, at his or her option. Currently the Center is working with several Federal agencies on a pilot project to custom design forms and procedures that might serve as tools in implementing the proposed principles.

Productivity and organizational effectiveness. PRDC has also provided staff support to aid the Commission in establishing a Clearinghouse on Productivity and Organizational Effectiveness. This Clearinghouse is designed to collect, analyze, and disseminate information on ways of improving productivity through changes in the nature and structure of jobs, incentive pay systems, work environment, and the scheduling of flexible work hours. In an effort to learn about activities enhancing the human resources of Federal agencies, a survey of personnel offices is being carried on to identify and evaluate promising studies or experimental programs. Research projects will eventually be planned to fill in gaps in the behavioral science literature on organizational effectiveness and employee productivity.

Assessment of supervisory behavior. Increased understanding of the dynamics of leadership and supervisory behavior resulted from a project aimed at validating a supervisory problems test for selecting first-line supervisors in the trades and labor specialties. In the process of developing criteria for assessing the job performance of supervisors, 31 behavioral dimensions of supervisory behavior were identified. The test itself dealt with specific real-life situations and was based on critical incident statements that retained as much as possible the original language of the supervisors, thus equating the level of verbal ability required to answer test items to the language of the job.

The test was shown to be most valid in measuring job performance when first- and second-line supervisors were in agreement in rating the relative importance of the 31 dimensions of the job. The leadership constructs of "Initiating Structure" and "Consideration" also proved to be useful moderators in establishing the validity of the test.

The test will soon be implemented in conjunction with a new rating procedure for the job element *Ability to Lead or Supervise.*

—Lorraine D. Eyde

EDITOR'S NOTE: To introduce the new "Personnel Research Roundup" department to *Journal* readers, we borrowed from an article written by Dr. Eyde, Personnel Research Psychologist in CSC's Personnel Research and Development Center, for the *District of Columbia Psychological Association Newsletter*, Vol. II, No. 2, June 1974, with updating as required by recent developments. Building on this overview of PRDC operations, future offerings will concentrate on news of Center projects, programs, and plans.

COEFFICIENTS OF SUCCESS IN FEDERAL LMR PROGRAMS

by Anthony F. Ingrassia
Director,
Office of Labor-Management Relations
U.S. Civil Service Commission

There is no universal formula for success in labor relations; what works best in one situation may not work as well in another. But there are certain common denominators that contribute to an effective labor-management relationship in most situations. In this article, Mr. Ingrassia reports on how they work in Federal situations—with a view toward how labor relations programs could be made more effective under Executive Order 11491.

WHAT makes for success in labor relations?

That question—simple as it may seem—requires first a definition of success in labor relations. And to arrive at a definition of success, it's necessary first to look at the origins of structured labor relations systems.

In the private economy, the major model is the National Labor Relations Act, enacted in 1935 during the days of heavy union organizing and equally strong management resistance. Not surprising, then, is that the major objective of the law was to insure industrial peace.

Thus a major measure of success in the private sector could be described as avoidance of industrial strife and continuance of the company as a profitable enterprise.

In the Federal service, on the other hand, the labor relations program has been grounded in Executive order. Both the original Executive Order 10988, issued in 1962, and Executive Order 11491, issued in 1969, have shared as major objectives the twin benefits of employee well-being and efficient Government administration that can result from providing employees an opportunity to participate in the formulation and implementation of personnel policies and practices affecting the conditions of their employment.

Thus success in the Federal sector could be characterized in terms of a stable and productive work force, marked by employee well-being and efficient administration of Government.

Looked at from a different perspective, the private sector model stresses regulation of admittedly adversary relations (in the legal sense) while the Federal program is intended to foster non-adversary cooperation. Despite these basic differences in the objectives and measures of success between the two systems, many of the procedures, practices, and rituals developed and refined over many years in industry have been carried over into the Federal program. The question raised at the beginning, then, can be restated:

In those situations in which employees have freely chosen union representation, what contributes to success in labor relations, and are there any differences in this regard

between the private and Federal sectors?

From these concerns and a goal to assess and improve the Federal labor-management relations program, the Commission's Office of Labor-Management Relations undertook an exhaustive, year-long study in FY 1974 to identify and validate the essential elements of a successful program under Executive Order 11491.

Given the long history and extensive study of labor relations in the private economy, the plan of action was obvious and straightforward—to conduct a literature search of the wisdom of successful labor relations in the private and public sectors and to identify its essential elements. The next step was to field-test these elements in selected installations so as to validate whether the same elements are present in the Federal program and whether some are more important than others in the Federal program.

Checklist of Basic Elements

In sum, 11 basic elements were identified as commonly characteristic of effective labor-management relationships. These elements, with appropriate adjustments for differences in private and Federal terminology and practices, are:

☐ *Mutual respect for goals.* Although each party identifies more strongly with its own interests, the parties know and share earned respect for each other's goals. Secure enough not to be afraid, each party accepts the presence and goals of the other and convinces the other of that acceptance.

The union is not afraid that management wants to break it; management does not challenge the loyalty of the union's members or security of the union leaders' jobs, and management remains neutral—staying out of the union's internal affairs. Management is not afraid that the union wants to usurp its authority; the union does not challenge management's accomplishment of its mission to the public, and the union believes in management's right to manage.

☐ *Effectiveness of negotiations.* Negotiations are carried out with honesty (integrity), intelligence, preparation, and a sincere desire to achieve results. Bargaining is characterized by a responsible problem solving approach as opposed to a win-lose power struggle, with management realistically assessing the negotiability of its personnel policies and practices to insure meaningful bargaining issues. Negotiating as equals, each party recognizes the limitations of the other—what demands the other cannot agree to—and alternatives are explored in a manner that shows respect for the position and abilities of the other party.

☐ *Effectiveness of agreement administration.* The agreement is understood and effectively administered in good faith by both parties. While written in the clearest possible language, the negotiated agreement is interpreted according to its spirit rather than its letter. Exhaustive training assures that it is consistently understood at all levels of management, by the union, and among the employees.

☐ *Grievance procedure structure and effectiveness.* The grievance procedure is comprehensively structured with a binding final step. While most grievances are resolved at the lowest possible level, there is no fear of reprisal for filing grievances. The union helps restrain the chronic or eccentric grievant while pursuing complaints it believes are justified. A careful record is kept of all grievances for future reference and to forestall misinterpretations.

☐ *Employees' sense of participation.* Employees feel a sense of dignity and worth stemming from participation, through their union representatives, in decisions affecting them on the job. Both parties realize that the employee is the focal point of their efforts toward a good working relationship, with management benefiting from a satisfied, productive work force and the union benefiting from a membership that actively supports the union.

☐ *Acceptance of collective bargaining.* Both labor and management fully accept the importance of collective bargaining (in the broad sense of bilateralism in their dealings). Management sees mutual benefit in the concept and acknowledges that merit principles and bilateralism can be compatible. Both parties demonstrate strong will to achieve problem resolution (labor peace).

☐ *Recognition of common goals.* The parties recognize that they have certain goals in common, including commitment to a higher authority: the public interest. And both have a mutual stake in carrying out the purposes for which the employing organization was established.

☐ *Strong management program.* Management has a strong, well-organized labor relations program, with overall goals and objectives within well-defined policies and philosophy.

Management operates as a team with authority decentralized to involve all levels: The personnel/labor relations function is located at a high level with ready access to the agency head; sources of central labor relations guidance provide technical advice to line managers; the personnel office has sufficient authority to insure that personnel judgments are brought to bear on operating decisions before they are made; and the supervisor

is carefully identified as a valued member of the management team in his labor relations role.

□ *Union strength.* The union is strong and positive enough to create balanced and effective collective bargaining. The relationship is not one of enforced equality; rather, it is one of positive dealings that result in little or no win-lose posturing in the collective bargaining process. Union strength is demonstrated through responsible and secure officials—working in harmony with the national or international union hierarchy. Union members demonstrate strong support for the leadership, and the union uses this strength to promote goals.

□ *Highly developed communications.* Communication both within and between parties is highly developed. While the intramanagement communication system involves all levels of management, including the first level of supervision, management also communicates its views to the employees and is sensitive to their feedback through the union, supervisors, and other means. Communication between the parties is ongoing and is characterized by informality, confidentiality, and flexibility—with both management and the union using the informal communication process as a fact-learning and preventive maintenance device.

□ *Evaluation of the labor-management relationship.* Each party continually evaluates the effectiveness of its relationship with the other. Management evaluates its relations with the union through field reports, studies of the results of training programs, and negotiations. The union also evaluates the results of negotiations for future reference. Both parties review reasons behind grievances and unfair labor practice charges (including those dismissed), which may be symptoms of trouble requiring other action.

Testing the Elements

This checklist reflects what was obvious from the outset of the study—that the conventional wisdom as to what makes for success in labor relations doesn't lend itself to clean-cut separations or neat and convenient breakdowns. Thus different elements may share similar constituents; for example, the avoidance of a win-lose attitude is as important a constituent in measuring the element of union strength as it is in gauging the elements of mutual respect for goals and effectiveness of negotiations, and the value of training cuts across the board. The results of the study are not intelligible unless this is plainly understood.

In turning to the validation process itself, moreover, it must be clearly understood that environmental differences themselves may influence or even dictate the greater or lesser presence of

different elements at different activities. For example, recent frictions or intransigent personalities may sour a relationship otherwise high in terms of presence of the elements, whereas the absence of friction or intransigence may sweeten a relationship otherwise low in terms of the elements' presence.

To test these elements against the Federal experience, a cross section of activities was selected, representing the various stages of labor relations involvement and effectiveness under the Executive order. National and local agency and union officials were given specific advance notice of the validation study—conducted, where possible, as part of the regularly scheduled CSC personnel management evaluation reviews at the installations selected.

Information was obtained from nearly 2,600 individual respondents at the activities polled: 63 management officials, 34 elected union officers, 444 first- and second-line supervisors, 211 union stewards, and 1,831 rank-and-file employees. Their responses produced a composite picture of Federal labor relations that had never before been seen—at both the program level (top local management and union officials) and the grassroots, or delivery, level (supervisors, stewards, employees) of the labor-management relationship.

Put to the test in the Federal environment, all 11 elements were found present in varying degrees, producing the following general observations:

While the parties at the delivery level identify closely with the basic objective of the program—enhancing the opportunity of employees to participate in the formulation and implementation of policies affecting them—the same is not necessarily true of higher management and union officials, who rate employees' sense of participation as relatively low among the elements contributing to success.

Strong validation was found for the need of the parties to understand and respect one another's goals, even though they obviously identify more strongly with their own interests when goals differ. This finding points to the need in training and guidance for "operating" management representatives (i.e., those representatives other than "staff" personnel/labor relations specialists) to emphasize goals clarification—that is, knowing the goals and objectives of the activity and of the union and respecting the role of the union as the employees' representative.

Checklist Revisited—Validation of the Elements

In summarizing the results, it is useful to focus on the identified elements in order of overall impor-

tance as perceived by both managers and union officers. It is also of value to weigh their perceptions against the presence of these elements at the delivery level, in terms of program effectiveness—the extent to which collective bargaining has proved to be a workable and generally satisfying mechanism—at the installations surveyed.

1. *Highly developed communications.* Ranked highest in importance by the parties, this element is the least present at the delivery level. Identified problems typically include management's failure to consult with the union and the failure of supervisors to communicate with stewards and employees. The communications vacuum is frequently accompanied by union initiatives to force communication.

2. *Acceptance of collective bargaining.* The parties rank this element equally high in importance with communications. Its presence is comparatively high at the delivery level. However, union officers cite as typical such problems as lip-service among managers and failure among supervisors to accept the union's role. Union stewards in the less effective programs seriously doubt management's acceptance of collective bargaining.

3. *Mutual respect for goals.* There is general agreement between the parties as to the high importance of this element. Its presence at the delivery level is the second highest of all elements. Union officers rate the presence of the element lower than do managers, due to what the union officers see as management's inconsistent acceptance of the union's role as well as its goals. At the delivery level, stewards agree with this. This problem has an adverse impact on problem resolution at the delivery level.

4. *Recognition of common goals.* Union officials rank this element as of more importance than do managers. Another difference appears in the parties' views of what this element means. Managers have mixed opinions about the union's acceptance of such concepts as mission accomplishment and the public interest. Union officers are also mixed in their opinions about management's sincerity. Some feel managers excessively cite "the public interest" as a reason to avoid dealing with the union on some matters.

Both parties tend to define "common goals" in terms of their own interest—managers emphasizing mission accomplishment and union officers seeking continued operation of the organization to insure continued employment. At the delivery level, the data suggest that this difference is the key; in the more effective programs, there is greater respect for each other's goals and less emphasis on common goals.

5. *Effectiveness of negotiations.* This element is ranked in the mid-range of importance by the parties. Benefits of negotiations cited include problem resolution and increased employee protections. Recurring union concerns include excessive time consumed in the agreement review and approval process and the narrowness of the scope of bargaining.

At the delivery level, the presence of this element is viewed as low. The principal reason identified is the absence of involvement in the negotiation process by supervisors and, to a lesser extent, by stewards (who tend to have more involvement than do supervisors). Although the level of input provided by both supervisors and stewards is generally low, there is comparatively more input provided by both in the more effective programs.

6. *Effectiveness of agreement administration.* This element is also ranked about even in importance by the parties. Its presence is not considered high among the elements. Managers generally agree that there are few problems in this area. The one exception noted lies in the realm of steward training, which many managers consider to be generally inadequate. Union officers believe that an absence of supervisory understanding of the agreement is a problem in agreement administration.

At the delivery level, training emerges as a key factor in the relationship. Steward training occurs regularly in the more effective programs, as opposed to the less effective programs where such training is infrequent or entirely absent.

7. *Strong management program.* The parties attach relatively low importance to this element. The union, moreover, rates the presence of the element much lower than do managers. At the delivery level, the presence appears relatively high. This is due primarily to the perception that staff assistance and training in labor relations are helpful. At the delivery level, the data conclusively pinpoint a breakdown at the first and second level of supervision as a problem that requires attention. The chief concern of large numbers of supervisors is that they do not possess enough authority to make decisions in their dealings with the union. Union stewards, particularly in the less effective programs, view this problem as a key reason why they feel compelled to elevate grievances to higher management levels.

Fifty-three percent of all supervisors either disagree with or are undecided about the statement that they are given adequate labor relations training. This also relates to the more specific problem, cited under effectiveness of agreement administration (above), of an

absence of supervisory understanding of the agreement.

8. *Union strength.* The parties view the importance of this element quite differently, with the union seeing it as more important than do managers. Both agree that its presence is generally low. Managers cite receptivity to the union and employee support of the union and its officers as important to union strength. Employee apathy and absence of union security provisions are typical union concerns.

At the delivery level, in the less effective programs the concept of union strength and the local's aggressiveness appear to be coupled with employee belief that management considers the union's views more seriously. (This higher visibility may be accounted for, in part, by the fact that a greater number of complaints were handled by stewards in the less effective programs.)

9. *Employees' sense of participation.* Although the parties rate the importance and presence of this element low, they agree that employees consider the Federal Government a good employer. Problems frequently cited by managers and union officers relate to reductions in force, supervisory practices, performance evaluation, and promotion policies.

At the delivery level, employees see the union's presence and influence as a positive factor in their general welfare. However, apathy represented by significant numbers of employees who are undecided on key profile questions (those based on the constituent indicators for each element) tends to qualify this observation.

10. *Grievance procedure structure and effectiveness.* This element is ranked low in importance and rated only moderately present in the sample. Reasons include a low level of formal grievance activity and a variety of other statutory and administrative procedures that are available to unions and the employees they represent. Related considerations include the cost of pursuing negotiated procedures and the union's often favorable experience with other than negotiated procedures.

A serious problem (related to the one concerning supervisory authority discussed above) appears at the delivery level. There, many supervisors and stewards believe that management is likely to modify the decisions supervisors make concerning grievances. This inhibits problem solving at the lowest possible level and helps create the impression that grievances can only be resolved at the top management level.

11. *Evaluation of the labor-management relationship.* The parties view this element as low both in importance and in presence. With few exceptions, evaluation is accomplished informally and usually only when problems arise.

At the delivery level, management does not involve supervisors in evaluating their experiences under the agreement. In fact, the union involves its stewards to a greater extent in this respect. This failure of management to benefit from the wealth of information available and to engender a sense of teamplay serves to illustrate further the existing discrepancies between the theoretical and the actual role of the supervisor in labor-management relations.

Elements of Success

Given a presence of the various elements identified, what will tip the balance to produce a successful labor relations program?

Five of the elements are more prominent in the more effective programs under Executive Order 11491: mutual respect for goals; effectiveness of negotiations; effectiveness of agreement administration; grievance procedure structure and effectiveness; and employees' sense of participation.

Considered together, these elements provide a general description of the more effective programs studied. In such programs, managers (including supervisors) and union representatives strongly identify with and represent their respective interests but demonstrate respect and understanding, too, of the differing goals of the other.

In addition, there exists a structure that facilitates the operation of the collective bargaining relationship. This includes active and effective participation in negotiations and agreement administration by all who are assigned responsibility within management and union ranks. These programs are also characterized by a greater sense of participation and problem solving through the employees' representatives—a primary objective set forth in the preamble of the Executive order.

It is clear that all 11 essential elements are present to some degree in all of the programs surveyed. This fact alone attests to their importance in bilateralism. As noted, the data suggest that some of the elements are present to a higher degree in those programs considered to be comparatively more effective within the sample of programs studied.

Beyond this, however, it is not possible to conclude that the presence of all or some of the elements will produce the benefits associated with effective labor-management relations. Obviously, the conduct of labor relations within the Federal service occurs under a diverse range of circumstances dictated by such factors as the relative size and complexity of the governmental programs involved.

These considerations aside, however, the data produced by this study provide a reference point from which to assess program improvement needs. And by staking out and validating specific areas of emphasis, they provide a point of departure for future efforts to translate program needs into program improvement.

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Training Leadership Services Offered

Both in its Washington office and field offices, the Civil Service Commission has increased services available through its Training Leadership program. This program provides guidance, consultation, and assistance in the field of employee training while it helps to improve the management and evaluation of employee development programs and increase intergovernmental and interagency cooperation in the training field.

Through the Washington-based Training Leadership Division in the Bureau of Training and counterpart field teams of "training consultants" assigned to each Regional Training Center, the Civil Service Commission is now offering a wide range of support services in these areas.

Guidance. As used here, this service includes the development and dissemination of general guidelines to government agencies on the management of employee development programs and the application of training technology. Examples include written and oral guidance on determining training needs, designing programs, selecting appropriate training and evaluation techniques, and using non-Federal resources.

Consultation. An important Training Leadership function is the consultative services available to government agencies on steps those agencies might take to improve their own training and development programs. Consultation includes advising an agency on how it could solve a particular training problem, how it could improve an ongoing course administered by the agency, and how the agency might best use its own resources to meet training needs.

Assistance. While consultation might imply a less direct role for CSC, assistance implies actually performing or helping to perform those projects or tasks that are normally the responsibility of the agency being supported. Examples of direct assistance are conducting or helping conduct an annual review of training needs (as opposed to merely advising an agency on how to do it) and evaluating particular courses for an agency. Such assistance services are available where a Federal agency or State/local government jurisdiction is unable to perform a given project or task itself.

A great many CSC training programs both at the headquarters office and in Regional Training Centers operate on a cost-reimbursable basis. Much of the resources for the Training Leadership program, however, come directly from appropriated funds—making it possible for at least some training leadership services to be available on a nonreimbursable basis.

Additional services. Besides guidance, consultation, and assistance services geared to the needs of a single agency or governmental jurisdiction, Training Leadership also includes developing a comprehensive system for the management of employee development and encouraging interagency/intergovernmental cooperation.

Concerning the management of training, CSC is developing and can make available specific techniques for evaluating training programs, improving the skills of agency training officers and employee development specialists, and increasing the appropriate application of new developments in training technology.

Another important leadership service focuses on CSC's role in fostering interagency and intergovernmental cooperation in the area of employee development. This role includes sponsoring or helping to sponsor training "councils," which facilitate the exchange of information and encourage joint ventures and the sharing of resources and facilities. The Commission also supports interagency/intergovernmental conferences, seminars, and workshops and performs such other services as publishing catalogs of available interagency training.

For additional information about services available under the Training Leadership program, field officials and training specialists can contact their local CSC Regional Training Center. At the headquarters level, people can contact the Training Leadership Division's Office of Agency Assistance and Resource Coordination (202/632-5655).

Workshop in Performance Analysis Now Available

The Commission's Personnel Management Training Center has announced a new Workshop in Performance Analysis designed to increase the skills of those who have responsibilities for analyzing and solving performance problems. The Workshop is intended for people concerned with changing human performance in organizations. Its audience includes such line officials as supervisors and managers, as well as staff officials in such functions as management and program analysis, employee development, and employee relations.

At the end of the Workshop, students will be able to identify and analyze human performance problems; state the performance problem in behavioral or performance terms; categorize performance problems;

determine and select alternative solutions to performance problems; and determine implementation and evaluation strategies that will provide data on the effectiveness of the proposed remedies or solutions to the human performance problems.

The Workshop includes sessions on the following topics: overall purpose of performance analysis; problem indicators; covert and overt behavior; mastery performance vs. actual performance; performance deficiencies; possible causes of performance deficiencies; solution alternatives; and solution implementation and evaluation.

In the Washington, D.C., metropolitan area, the Personnel Management Training Center plans to offer this course January 22-24, 1975, and April 30-May 2, 1975, in addition to the course conducted October 9-11, 1974. Further information about the course may be obtained by calling 202/632-5636.

New Executive Development Publication Available

The CSC's Bureau of Executive Manpower has issued the third in its series of Executive Manpower Management Technical Assistance Papers (EMMTAPS). This paper, entitled "Decision Analysis Forecasting for Executive Manpower Planning," describes a fast, flexible, and extremely responsive method for assisting senior management in forecasting manpower and organizational needs. The decision analysis forecasting method is specifically designed for use on problems where the experience and judgments of top-level policymakers comprise the basic and often only information.

Other publications in this series include EMMTAP 1, "Considerations in the Identification of Managerial Potential," published in August 1973, and EMMTAP 2, "Suggestions for Individual Development Planning," October 1973. Inquiries concerning all three publications should be directed to the Executive Manpower Management Technical Assistance Center, Bureau of Executive Manpower, U.S. Civil Service Commission, Washington, D.C. 20415, telephone 202/632-4661.

FPM Chapter Revised

FPM Chapter 410, "Training," has been revised. The revision enhances its utility as a tool for the effective management and productive use of Government training. It offers an overview of the many forms of assistance provided to agencies by the Commission and presents a clearer picture of the requirements imposed on training and the management of training by law, Executive order, and regulation.

Overtime Pay Regulations Clarified

The Civil Service Commission has answered certain questions about the impact of the Fair Labor Standards Act Amendments of 1974 on already existing legislation that prohibits payment of overtime pay to an employee while assigned for training.

In FPM Letter 551-3, dated August 29, 1974, CSC announced that current prohibitions on overtime pay remain in effect regardless of whether the employee's eligibility for overtime pay is based on provisions found in title 5 of the United States Code or based on the Fair Labor Standards Act, as amended by Public Law 93-259.

As FPM Letter 551-3 indicated, inquiries on training policies should be directed to the Training Leadership Division, Bureau of Training, telephone 202/632-5647. Inquiries relating to Fair Labor Standards Act entitlements, however, should go to the Pay Policy Division, Bureau of Policies and Standards, telephone 202/632-5604.

—John V. Zottoli

Legal Decisions Legal Decisions

Employment Opportunities For the Resident Alien

"Give me your tired, your poor,
Your huddled masses, yearning to breathe free,
The wretched refuse of your teeming shore.
Send, these, the homeless, tempest tossed to me,
I lift my lamp beside the golden door."

These warm words of welcome, inscribed on the Statue of Liberty, have greeted countless immigrants arriving in New York Harbor.

In the early days of our history, when the demand for human resources far exceeded the supply of human labor, immigrants from any part of the world were welcomed to our shores. In fact, until the late 1800's, the United States had an open-door immigration policy.

By 1900 the United States, once an agrarian nation, was rapidly becoming an urban and industrial society. Vast numbers of peasants from southern and eastern Europe and Orientals attracted by the opportunities of the West were arriving here. Most of them neither spoke English nor understood the Anglo-American tradition. Mainly because of labor market concerns, the Federal Government began to restrict immigration.

The States could not constitutionally restrict the

entrance of immigrants into their jurisdictions, however, and legislatures began to enact wide-ranging statutes depriving "resident aliens"—that is, immigrants lawfully admitted for permanent residence—of the right to own land, share in the natural resources of the State, participate in the common occupations of the community, engage in public works or civil service employment, or practice a profession.

Over the past 100 years, a series of judicial decisions have gradually eroded the permissible scope of these statutory restrictions. Cognizant of the fact that resident aliens, like citizens, pay taxes and are subject to military service, service of process, and congressional subpoena, the courts have accorded aliens the constitutional protections of the Fifth and Fourteenth Amendment Due Process Clauses and the Fourteenth Amendment Equal Protection Clause. Restrictions on aliens' employment opportunities continue to persist in many States, however.

The Common Occupations

The first employment restrictions to be invalidated by the courts were those limiting a resident alien's access to the so-called "ordinary occupations" of the community. In 1886 in *Yick Wo* v. *Hopkins,* the Supreme Court struck down a municipal ordinance regulating public laundries. Although the ordinance was fair on its face, it was applied and administered by a public authority "with an evil eye and an unequal hand," so as to unjustly discriminate between persons in similar circumstances.

In 1915 in *Truax* v. *Raich,* the Supreme Court struck down a statute requiring every employer of more than five persons to employ at least 80 percent citizens. The State argued that its inherent police power to control dangerous enterprises in order to protect the health, safety, and morals of the community justified the statute. However, the Court, recognizing that the right to work for a living in the common occupations of the community is of the very essence of personal freedom, held "that to deny such employment solely on the grounds of alienage makes the prohibition of the denial of equal protection a barren form of words."

Public Employment

State statutes prohibiting or restricting the employment of aliens in public employment were enacted as early as 1909. Even after the *Truax* decision, courts were willing to uphold these statutory restrictions in light of the State's "special public interest" in preserving its resources for the citizens of the State. In 1915 the Supreme Court sustained the validity of a New York statute in *Heim* v. *McCall* and *Crane* v. *New York,* which provided that only citizens could be hired on public works projects and that New York citizens should be given preference in public employment generally.

The validity of the special public interest doctrine was undermined by the Supreme Court in 1949 in *Takahashi* v. *Fish and Game Commission.* Although the statute at issue restricted commercial fishing licenses (rather than public employment), the case is important because of the Court's recognition that "the power of a State to apply its laws exclusively to its alien inhabitants as a class [should be] confined within narrow limits."

In 1969 the California Supreme Court decided *Purdy* v. *California,* holding a provision of the California Labor Code prohibiting the employment of aliens on public works projects unconstitutional. The Court rejected the State's argument that it had the right to protect its citizens from economic competition or to favor them in the disbursement of public funds, and determined that the statute arbitrarily discriminated by classifying persons without any relationship to the statute's permissible purpose—promoting acceptable wages. The Court stated:

"Any limitation on the opportunity for employment impedes the achievement of economic security, which is essential for the pursuit of life, liberty, and happiness; courts sustain such limitations only after careful scrutiny."

Relying on *Purdy* v. *California* and *Graham* v. *Richardson,* the latter a Supreme Court case which held that a lawfully admitted resident alien could not be denied welfare benefits, the Supreme Court in 1973 decided *Sugarman* v. *Dougall.*

The plaintiffs in *Sugarman* were four federally registered resident aliens who had been discharged from their jobs because of their alienage when the private institutions that originally hired them were taken over by a city agency operating under State law. They instituted a class action challenging the constitutionality of section 53(1) of the New York Civil Service Statute, which provided that "no person shall be eligible for appointment for any position in the competitive class unless he is a citizen of the United States."

The Supreme Court held that the statute, because of its breadth and imprecision, was an unconstitutional violation of the Fourteenth Amendment. The prohibition covered the full range of work tasks, from menial to policy making, while certain executive policy positions did not carry any citizenship requirement.

It is interesting to note that the Supreme Court carefully defined the issue presented as a question of whether the flat statutory ban against the employment of aliens in the competitive civil service was constitutionally valid. It did not decide whether a particular alien could be refused employment or discharged on an individual basis for whatever reason the State might possess. Nor was the Court reviewing a legislative scheme that barred some or all aliens from closely defined classes. The Court intimated that legislation prohibiting the employment of noncitizens in positions directly involved with the formulation, ex-

ecution, and review of broad policy functions would be constitutionally permissible.

The Court in *Sugarman* expressly noted that it intimated no view on whether the Federal citizenship requirements are susceptible to constitutional challenge.

Federal Employment

The United States Civil Service Act of 1883 did not contain any provisions restricting Federal employment to citizens; however, Rule III of 1888 Revised Civil Service Rules did require applicants to state under oath that they were United States citizens. Rule V, which was promulgated on May 6, 1896, and remained in effect until 1947, specifically limited admission to the civil service examination to United States citizens. In 1947 the citizenship requirement was imposed by civil service regulation, now codified as 5 CFR 338.101, which states:

"(a) A person may be admitted to competitive examination only if he is a citizen of or owes permanent allegiance to the United States.

"(b) A person may be given appointment only if he is a citizen of or owes allegiance to the United States. However, a noncitizen may be given (1) a limited executive assignment under section 305.509 of this chapter in the absence of qualified citizens or (2) an appointment in rare cases under section 316.601 of this chapter, unless the appointment is prohibited by statute.

"(c) Paragraph (b) of this section applies to reinstatement and transfer as well as to other noncompetitive appointments, and to conversion to career or career-conditional employment."

The citizenship requirement established by Rule V and 5 CFR 338.101 applies only to positions in the competitive civil service. Excepted service positions may be open to aliens depending upon an agency's policy and regulations. Another bar to employment of aliens is found in appropriation acts containing provisions restricting the use of appropriated funds to pay the salary of employees who are not citizens. These provisions have been in force since 1938 and continue to the present time.

The Federal policy of restricting the employment of aliens in the Federal Government was unchallenged until 1969 when an Indian national, Mazhar Jalil, filed a class action attacking the constitutionality of the civil service regulation and the restrictive provision of the appropriation acts.

The Court of Appeals remanded the case to the District Court for further factfinding, despite Chief Judge Bazelon's strong dissent. Chief Judge Bazelon argued that the remand was both unnecessary and improper because the total exclusion of aliens from the civil service is patently unconstitutional. On remand, the District Court dismissed the case as moot since Jalil had become a citizen in the interim.

Since the *Jalil* suit was instituted, there have been several suits attacking the Federal citizenship requirement. In one of these, *Mow Sun Wong* v. *Hampton,* five resident aliens who had immigrated to the United States from China instituted a class action challenging the constitutionality of the Commission's regulation. The District Court dismissed the case for failure to state a claim upon which relief could be granted.

The Court of Appeals reversed, however, finding a violation of the Due Process Clause of the Fifth Amendment, and the Supreme Court has agreed to review the case. The Supreme Court will be hearing arguments in *Mow Sun Wong* during its coming term, and a decision will be made some time after the arguments—a decision that will have profound effect on the Federal civil service.

—*Susan Levin*

CPDF

INFORMATION FOR DECISIONMAKING

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THE INITIALS "CPDF" have crept into the consciousness of nearly everyone on the Federal personnel management scene, and have puzzled a good many people outside the Federal service. Quite a few of the former now remember, without stopping to think about it, that these initials stand for the Civil Service Commission's Central Personnel Data File.

As with any such complex system, there are conceptions and misconceptions about exactly what it is, how it is used, how it works, and why it exists. This was particularly true in its infancy, but it is now over 2 years old and it has gone through the traumatic period of growth and stabilization required of any computerized information system. It is now possible to strike at least a trial balance on progress to date.

History and Purpose

In 1971 the Civil Service Commission and the Office of Management and Budget recognized a pressing need for a better means of quickly capturing on paper the size, characteristics, and makeup of the Federal work force. Prompt availability of such data to the President, Congress, national planning agencies, and the public would aid in managing vital Federal programs and in supporting legislative and regulatory changes to improve administrative procedures and policy affecting Federal employees. Previous reporting methods, principally the result of expensive and time-consuming surveys, had proved totally inadequate.

Survey data often were not available until up to 2 years after the "as of" date. Such information was of little more than historical interest and certainly was not conducive to intelligent decisionmaking on current problems.

The CPDF was conceived as a preferable alternative, therefore, with the computer as the logical tool to do its job. With a few outstanding exceptions, automated personnel data have historically held second priority in mission-oriented agencies, and the result has been frustration, delay, and mountains of paperwork.

Increased Commission emphasis on the computer, advanced thinking in a number of agencies, and subsequent development of automated systems has already done much to alleviate these problems. The Federal Government's most valuable asset is its highly qualified and motivated personnel force, and this realization has finally and forcibly been brought home to those whose decisions affect Federal workers.

The Makeup of the Central Personnel Data File

The CPDF is basically a file—an automated file—a very large-scale file in terms of volume of records—organized around individual records on individual Federal employees. The data base is maintained primarily by means of paperwork that routinely flows through the Commission on personnel and payroll documents. These are used to update the files. An SF-50 is completed for every significant change in an individual's status—for initial appointment, completion of probation, promotion, transfer, etc. Agencies are required to provide the Commission with a copy of every SF-50 prepared on a Federal employee, either in automated or manual form.

CPDF is not just a single file, but a series of relatable files (see table 1). Each month's update is performed by making changes in what is known as the current status file, which has a record in it for all active Federal employees and is the major file used to produce reports on the work force.

CENTRAL PERSONNEL DATA FILE (CPDF)

File Characteristics

- Automated Individual Records
- Series of Relatable Files
  - — Current Status
  - — Transaction
  - — History
- 2.7 Million Employee Records
- 0.5 Million Monthly Transactions
- 0.2 Million Quarterly Training Incidences

Table 1

In addition to the current status file, the Commission maintains transaction files that contain all personnel transactions received each month. These are merged onto tapes and kept so we can get a before and after look at what the action does to the employee: whether it changes his grade, changes his occupational series, changes his location, etc. This allows us to look at the dynamics of what is happening to the Federal work force over a period of time.

Another major file in the CPDF system, still being developed, is the history file. A history file allows one to track individual Federal employees across the span of their Federal careers. Prior to CPDF, the Commission had what is known as the 10 percent sample. Since 1962, every Federal employee whose social security account number ended in 5 had his or her Form 50's filed with the Commission. So for those employees, we have a record of every personnel action that has been taken on them in the intervening 12 years. This is a very good historical data base for performing limited longitudinal studies on the work force, but when the new history file in CPDF is activated, and as it builds up over time, we will have the longitudinal history for nearly 100 percent of the Federal work force.

In order to control the flow of information to the Commission and the CPDF, a Control Unit was established in 1972. The CPDF Control Unit maintains logs that are used to record the numbers and kinds of records received, the agency or submitting office, and their timeliness. When specified time limits for receipt are exceeded, the Unit prepares and sends out delinquency notices. This system has produced a very high degree of cooperative effort over the past 2 years, and the few delinquent submissions today are usually caused by slow mail from overseas activities, or an occasional computer equipment problem.

Organizational Coverage

The organizational composition of CPDF is shown in table 2. The system includes roughly 40 percent of the legislative branch, primarily in the General Accounting Office, Government Printing Office, and the U.S. Tax Court. Congress and the Congressional staffs are not included. In the judicial branch CPDF has very small coverage, the Administrative Office of the U.S. Courts.

CENTRAL PERSONNEL DATA FILE
Agency Coverage

- Legislative Branch (40% Coverage)
  - GAO
  - GPO
  - U.S. Tax Court
- Judicial Branch (3% Coverage)
  - Administrative Office, U.S. Courts
- Executive Branch (99% Coverage)
  Excludes: White House
  Federal Reserve
  TVA (CIA and NSA excluded by law)

Table 2

In the executive branch there is virtually complete coverage with the exception of the White House Office, the Federal Reserve, Tennessee Valley Authority, Central Intelligence Agency, and National Security Agency. The latter two have historically been excused by law from reporting their work force information to the Commission for national security reasons. Basically, however, CPDF provides a very complete view of the Federal work force.

Data Element Coverage

In the CPDF there are approximately 40 data elements on every Federal employee (see tables 3, 4, and 5). These are basically the elements contained in the Standard Form 50, with a few elements added. They are organized to cover the individual employee, the employee as a worker, position data, and personnel transactions that affect his or her status.

Data elements organized around identification of the individual are: name and social security account number, date of birth, sex, minority group designator, citizenship, veteran preference, handicap code, and retired military designator.

Three additions to CPDF, made last spring for EEO purposes, are data elements for the educational level, academic discipline, and date of the most recent academic degree for each Federal employee. A very large data collection effort was involved in getting these last three data elements on education. We sent forms to 2.7 million Federal employees, had them completed by inserting proper codes, and returned for automation through optical scanning. We completed this process with the addition of information from the Postal Service this past summer. We now have virtually complete coverage of the academic characteristics of the work force. But the magnitude of this effort demonstrates why we don't want to add any nonessential data elements to CPDF.

Data elements covering the individual employee as a worker include tenure group, service computation date for leave purposes, participation in the various retirement systems and the Government life insurance program, and nine separate data elements for each training experience, including purpose of the training, its type and source, training of the individual for special interest programs such as executive development or upward mobility, direct and indirect costs of the training, date of completion, and the amount of time spent on and off duty during training.

Although CPDF is oriented to the person, not the position, we have information on the position held by each incumbent, and this provides a great deal of information about the positions that exist in any Federal agency. Position data include identification of the agency, bureau, and submitting office. Geographic location is included, down to the city level. The grade or level of the incumbent, step or rate within that grade, pay basis (per diem, per annum, piecework), annual salary, pay rate determinant (saved rate category or special rate occupation), pay plan, occupational series code, and functional classification of scientists or

CENTRAL PERSONNEL DATA FILE
Data Coverage

Individual Identification

- Name • SSAN • Date of Birth

Employee Characteristics

- Sex • Minority Group Indicator
- Citizenship • Veteran Preference
- Handicap Code
- Retired Military
- Educational Level
- Academic Discipline
- Date of Degree

Table 3

CENTRAL PERSONNEL DATA FILE
Data Coverage

Worker Characteristics

- Tenure Group
- Service Computation Date
- FEGLI
- Retirement System
- Training Received
  - Purpose — Type — Source
  - Special Interest Program
  - Direct Cost — Indirect Cost
  - Date of Completion
  - On-Duty Hours — Non-Duty Hours

Table 4

CENTRAL PERSONNEL DATA FILE
Data Coverage

Incumbent Position Characteristics

- Agency, Bureau, Submitting Office
- Geographic Location (Country, State, County, City)
- Pay Plan • Grade or Level
- Step or Rate • Pay Basis • Salary
- Pay Rate Determinant
- Occupational Series Code
- Functional Classification (S & E)
- Position Occupied
- Work Schedule • Supervisory Status

Transaction Data

- Nature of Action/Personnel Action Code
- Effective Date
- Updated or Corrected Data Fields

Table 5

engineers are included. Regarding the position occupied, the file shows whether it is excepted or competitive, work schedule on which it is performed, and whether it involves supervisory status.

Finally, CPDF has transaction data on the nature of the action taken, whether it was an occupational change, promotion or demotion, change in location, and the effective date.

Relationship to Other Files

CPDF does not exist in a vacuum. It bears a definite relationship to other systems that exist within the Civil Service Commission. The current status file is related to a number of other files that for positive control purposes are linked primarily by means of social security account number, date of birth, and agency.

CPDF can be linked to the Executive Assignment System, primarily with the Executive Inventory, maintained in support of the Bureau of Executive Manpower. Although there are separate reporting channels for construction and updating of records in the Executive Inventory, these records are surveyed only once a year, and we can update them in the interim by using CPDF.

CPDF is also used to update the Federal Automated Career System (FACS), a person-job matching system used for several occupational series at various grade levels. It does not cover all occupations and all grades. For example, it covers engineers and scientists down to GS-13, and personnelists down to GS-11, and it is used to make possible interagency job offers among the agencies using FACS.

There are several other related files associated with CPDF. We have a separate name file that contains the names of Federal employees. We do not store the names in the current status file for a number of reasons—the primary reason being our desire to prevent any unwarranted invasion of individual privacy. Although there is no derogatory information in the CPDF, it still could be construed as private information, and we take great pains to protect it. We virtually never use the names for anything except when we send error listings back to the agencies, and even then the only reason for using names is to ease the workload on personnel offices in locating individual Official Personnel Folders to make corrections in CPDF records.

Other than that, we do not produce any outputs that identify individual Federal employees by name except for those outputs required by the Freedom of Information Act. Approval of name outputs from CPDF must be given specifically by the Director of the Bureau of Manpower Information Systems, and the rationale for doing so has to be clearly laid out and proper protection of the information guaranteed.

Another related file is the minority group designator file. Data comes into this file through equal employment opportunity channels rather than through personnel channels. The two files are linked up again for control through the social security account number, date of birth, and agency code when statistical reports on minority composition of the work force are prepared. Again, they are kept separate to preclude any invasion of privacy.

The primary orientation of CPDF is statistical. It is not an accounting system, it is not an attempt to follow employees, control them, or manage them in any way. It would, in fact, be ineffective for any such purpose. Its only purpose is to produce statistics. These, in turn, aid in managing Federal programs and in assisting appropriate decisionmaking bodies in improving the lot of the individual Federal worker.

Maintenance and Quality Control

Maintenance of the CPDF has resulted in a tremendous volume of data coming into the Commission—500,000 transactions per month. Inputs to the CPDF are of two sorts, either in automated form (punched cards or magnetic tapes) or hardcopy form (SF-50's, 1126's, payroll documents). The hardcopy that comes in is keypunched under contract, but it is controlled by the Commission.

A potential source of error, of course, is in the keypunch operation. Keypunch operators can make

mistakes, and we want to be very careful that we do not insert any errors ourselves, so we have instituted a quality sampling procedure based on statistical quality control methodology. Each batch of keypunching coming back from the contractor is compared against the hardcopy to verify that the data are correct. This has produced a statistical quality control level of less than 1 percent error in our data.

Batch sizes are approximately 2,000 records and we reject a batch if it has as many as three errors in it. Our experience has been very good, and quality of the keypunching has been high.

Once we have the automated inputs and hardcopy inputs reduced to punched cards, they are merged into a raw transaction tape and that tape is put through a validity edit. A validity edit is a series of checks made against the data coming in to make sure that it passes or avoids various conditions that are electronically blocked. For example, if a given "field" is supposed to contain alphabetic data, the validity edit would check each character and guarantee that it is alphabetic.

Another sort of validity edit checks to see if submitted data are within certain limits: for example, salary limits. Any records that do not pass those edits are printed out on an error listing and sent back to the submitting office for correction and resubmission.

The edited transaction file is then merged with the previous month's current status file, and a series of additional edits are performed. These are relationship edits, in which the computer checks the relationship between two or more data elements. For example, the computer looks at the GS pay system, looks at the grade, step, and salary, and if these don't meet the appropriate ranges, the computer prints an error listing that is sent back to the agency for correction.

Uses of the File

Once the relationship edits have been performed, the update is completed, and we have the new month's current status file. We are now prepared to produce the monthly reports and any other outputs that are needed from CPDF. The Civil Service Commission's regional offices and various bureaus are getting a variety of monthly reports, and quarterly reports are produced for the regions in the area of equal opportunity to show the minority composition and other aspects of the local work force.

Monthly reports are prepared for the Office of Management and Budget. These are primarily average-grade reports and ceiling reports so OMB will know how many employees each Federal agency has and what the average GS grade of the agency is. This aids OMB in its function of controlling grade levels and personnel ceilings to insure that they don't escalate beyond permissible levels. Perhaps equally important, CPDF offers some promise in constructing more useful and meaningful indicators concerning the fiscal aspects of Federal civilian employment.

We also have a series of reports that are fed back to the agencies. Quality assurance is everybody's business, and to insure that agencies know what the quality of their files is, we feed back overview reports that depict the status and quality of their files. This helps the agencies to manage and monitor their input process to assure that we get the best possible coverage and the most accurate data we can.

Other outputs include statistical surveys we publish on the Federal work force every year. We have twice-a-year minority surveys, once-a-year occupational surveys in which we also gather data on women, once-a-year geographic surveys, and a once-a-year salary and wage survey.

Another major area of output from CPDF is equal employment opportunity statistics. Our reports are supporting the Office of Federal Equal Employment Opportunity in the Commission and their management of that program, as well as agency evaluations in the EEO area. From time to time, agencies come in with special requests because they don't have data capability themselves, so we produce reports for such agencies to assist them in managing their EEO programs.

We produce a semiannual report on turnover that shows us, by agency, what the turnover in the work force is, what the step movement within the grades is, and what the movement is between grades and between occupational series. We are also looking at retirement trends. Any time we have a new cost-of-living increase in retirement there is a stimulus for people to retire, and in the month that it occurs we prepare a report for OMB to show what the impact of that cost-of-living increase is on the work force in terms of retirements.

Another interesting use of CPDF is the tracking of executive training. OMB and the Commission jointly sponsored a program in FY 1974 to stimulate agencies to do something to increase their activity promoting executive development. Ten of the larger Federal agencies were required to identify 75 percent of their supergrades and a certain percentage of what they consider to be their high-potential grade 13's through 15's. Each individual has an individual development program produced for him, which shows what exposures to training experiences he will need to help him be a better executive, or better potential executive. After each quarter's training update of CPDF is completed, we produce reports for OMB as well as for the Bureau of Executive Manpower and the Bureau of Training. These reports show how many of these people are getting the training they are supposed to get, and how close they are to the targets that the agencies have set for themselves.

Finally, we are using CPDF very heavily in supporting studies in the Commission. One such use of CPDF is to support the annual process of evaluating General Schedule white-collar pay, to determine what pay adjustment would keep it on a level comparable to salaries in industry. We generate

information to construct the Federal pay line—a relationship between average salary and grade. The Federal pay line is then compared with the industrial pay line (developed by the Bureau of Labor Statistics), and adjustments are computed. We are using CPDF to support position classification studies to help identify critical occupations and critical grade levels in agencies, and we hope soon to be able to use CPDF for increased support of the personnel management evaluation process.

CPDF has become one of the greatest assets available to the Commission and those it serves. This is attested to by the fact that the office and personnel responsible for its design, implementation, and operation received the Presidential Management Improvement Award, and the CPDF Control Unit received a Special Citation of Commendation at the Commission's annual awards ceremony.

CPDF will be utilized more and more during coming years. The Commission will strive to continue the standard of quality and completeness necessary to maintain the system as the valuable tool to management of the Federal work force that it has become. #

RECRUITERS FORUM RECRUITERS FORUM

New Recruitment Film Sponsored by CSC

The Civil Service Commission has sponsored the production of a new college recruiting film, "What About Me." Four young employees, representing a cross section of occupations and programs, who are seen on and off the job, discuss their work and how they feel about the contributions they are making.

The film is designed primarily to inform college audiences about what it is like to work in a Federal agency—to illustrate the variety of positions young employees hold and the kinds of responsibility they can assume. Equally valid as a guidance film or a civics lesson for high school students, it also provides a glimpse of the Federal Government at work for citizens of any generation.

In its recruitment applications, "What About Me" is intended to supply a counterpart of visual information to complement and reinforce the information of direct relevance to seniors (about employment opportunities, pay and benefits, how to apply, etc.) that is communicated through various print media and in person by college placement people, agency recruiters, and Commission representatives. It is assumed that the film will be used in most such cases as a lead-in to a presentation and/or QfiA session. This should be the most effective combination for achieving recruitment results, but the film can be used alone as well.

One print of "What About Me" is being placed in each of the Commission's regional and area offices, and five in the central office. Prints are now available through these offices for loans to schools and other civic organizations.

Government-Wide College Recruitment Publications

Beginning with the 1974-75 school year, the Civil Service Commission is publishing annual editions of four pamphlets designed to provide basic information on entry-level employment opportunities for new and recent college graduates. These pamphlets, together with *Trends in Federal Hiring,* the newsletter for college placement directors, will constitute a comprehensive information package aimed at colleges and universities. They will be uniform in appearance, with yearly publications in varying shades of a single color to distinguish them from previous years' issuances.

Government '75 (BRE-14) is a basic reference document aimed at students and recent college graduates interested in Federal career opportunities. It describes in a general way the kinds of jobs filled and majors sought by the Government, and provides an introduction to the civil service examination system and the employment process.

Federal Career Directory (BRE-39) is a more extended treatment of occupations, agencies, and programs, and is intended to be available to counselors, students, and recent graduates as a reference—and not as a handout.

Guide to Federal Career Literature is primarily a reference for college placement offices in building their career libraries, and secondarily for students and recent graduates interested in obtaining copies of agency brochures.

Federal Recruiting (BRE-50) is a desk reference for college placement directors. Its purpose is to give placement people an idea of the organization and structure of agency recruitment programs, a major area of confusion in most placement offices.

As these booklets are printed they will be distributed direct to schools, with a small supply being stocked in CSC regional and area offices.

—Allan W. Howerton

oak ridge executive seminar center

KNOWLEDGE EXPLOSION IN SCIENCE CITY, U.S.A.

by Sylvia Bayliss
Office of Public Affairs
U.S. Civil Service Commission

THEY CAME from Kansas, Oklahoma, Florida, Washington, D.C., and several points in between. They came with enough drip-dries to last 3 weeks, toothbrushes, guitars, briefcases, southern drawls and midwestern twangs, energy-crisis sportshirts (for 28 men), and high-heeled shoes (3 women).

They checked into a motor inn that was once a guesthouse for visiting VIP's during World War II days of the Manhattan Project that made the bomb. They were in Oak Ridge, Tennessee—"Science City, U.S.A.," the local Chamber of Commerce says.

They weren't there in Science City to build a bomb, they were there to build knowledge, to learn all they could about the art and science of Federal managership.

The name tags they pinned on said Mark Mergler, Bill Nixon, Dottie Corkery, Tom Rodgers, José Fernandez, Tony Cavender, etc., but their common identity was "New Manager," and they were in Oak Ridge to participate in the first

New manager Dorothy Corkery began her Government career 32 years ago as a GS-2 clerk-stenographer, progressing to GS-9 administrative assistant before deciding to leave what was a dead-end job. She launched a new career after qualifying in the Federal Service Entrance Examination, and is now a grade 13 contracting officer with General Services Administration in Washington, D.C.

New manager Jim Fuchs is a logistics management specialist with the Office of the Planning Board at Headquarters, Air Force Logistics Command, Wright-Patterson Air Force Base, Ohio. He was educated in California, earned a degree in business administration, and has logged in 6 years of Government service.

New manager Tom Rodgers lives in Ft. Walton Beach, Fla., and is an electrical engineer at nearby Eglin Air Force Base. He specializes in research development, test, and evaluation of non-nuclear armament for the Air Force. His comment that the Seminar for New Managers was "fantastic, the best I've ever attended" typified overall participant reaction.

Seminar for New Managers at the CSC-operated Executive Seminar Center.

A seminar just like it was starting on the same day at the Executive Seminar Center in Kings Point, N.Y., and another would begin at the Berkeley, Calif., Executive Seminar Center before long. By the end of FY 1975 the three Centers combined would log in a grand total of 24 such seminars completed, several hundred new managers better prepared to do the job right.

New manager Jose' Fernandez directs the Miami area office, Wage and Hour Division, part of Labor's Employment Standards Administration. He was born in Cuba, came to the United States in 1947, and graduated from Lenoir Rhyne College in Hickory, N.C., after serving in the U.S. Army. He came into Government in 1960 as a wage and hour investigator in Miami.

course content

The Seminar for New Managers currently being conducted at the Civil Service Commission's three Executive Seminar Centers at Kings Point, N.Y., Berkeley, Calif., and Oak Ridge, Tenn., provides training opportunities in the following basic managerial knowledges and abilities common to most Federal managerial positions:

a. Environmental knowledges

(1) *External environment of the program*

(2) *Internal organizational environment of the program (each manager develops a learning plan while attending the course).*

b. Management knowledges

(1) *Program planning*

(2) *Program implementation*

(3) *Program control and evaluation*

c. Interpersonal abilities

- ☐ ability to work with people of various backgrounds—social, economic, racial, etc.
- ☐ ability to listen to and accept the views of others
- ☐ ability to secure understanding and support from higher level management.
- ☐ ability to communicate with subordinates and deal with their individual and collective representatives

d. Personal abilities

- ☐ ability to communicate orally
- ☐ ability to negotiate
- ☐ analytical ability
- ☐ ability to use own time effectively
- ☐ awareness of own capabilities and limitations

The above basic managerial knowledges and abilities are covered through various learning methods and are fully integrated into the 3 weeks of managerial training provided in the Seminar for New Managers.

"what is a manager?"

The Seminar for New Managers discussed on these pages was an outgrowth of a broader effort to come up with a definition of a manager and specify the knowledge and ability requirements of positions identified as being managerial in nature. FPM Letter 412-2 explores the subject matter in more detail, but the following hits the high points of "what is a manager?"

First of all, a managerial position is one in which the person occupying it (1) directs the work of an organization, (2) is held accountable for the success of specific line or staff programs, projects, functions, or activities, (3) monitors the progress of the organization toward goals and periodically evaluates and makes appropriate adjustments, and (4) performs most of a wide assortment of duties delineated in 412-2.

Although 412-2 concedes that no specific grade or organizational level criteria would fit every situation, it does suggest guidelines that may be applied in identifying managerial positions.

Guideline one is that the positions are usually at or above the GS-13 level, or equivalent, but there are exceptions.

Guideline two has it that a manager's organization is subdivided into two or more units led by subordinate supervisors, again with room for exceptions.

Guideline three allows "deputy" positions to be included when responsibility for managing the total organization is divided between the manager and the deputy, or when the deputy serves as an alter ego and assists the chief in all phases of the organization's work.

Once a managerial position is identified, next in line for 412-2 attention is development of a list of basic managerial knowledges and abilities.

Environmental knowledges lead the list, and these include external environment of the program (social, political, and economic forces that affect the program; governmental policies, organizations, missions, and operations; public policies relevant to the program; etc.) and internal organizational environment of the program (features such as internal organization of the agency and communication with other members of the agency management team).

Coming up second are management knowledges in the specified areas of program planning, program implementation, and program control and evaluation.

Next on the list are interpersonal abilities. Personal abilities complete the list.

Manager Defined

Impetus for offering the new managers' seminar grew out of an effort to institutionalize executive and management development in all Federal organizations. Agency-by-agency attempts to step up the pace of their executive development activities had had hit-or-miss results up to then, with enough misses to bring action from the Office of Management and Budget and the Civil Service Commission.

Agencies were required to move in several areas to make executive and managerial development an integral part of personnel management operations. On the theory that you have to know one in order to develop one, "manager" was defined, delineated, and described, some think for the first time ever, in a document called Federal Personnel Manual Letter No. 412-2.

It was 412-2 that told agencies how to go about identifying all managerial positions and how to specify the knowledge and ability requirements of each. And it was 412-2 that further required agencies to identify all (1) new or nearly-new managers and (2) advancing managers. That first group includes all individuals selected for their *first* managerial position on or after July 1, 1974. The second group takes in managers selected for another managerial position—that is, individuals already in a management position and selected for *another* managerial position on or after July 1, 1974.

A further requirement of 412-2 was that agencies prepare Individual Development Plans for all these newly selected managers and advancing managers. The IDP's are an agency's working papers in meeting still another 412-2 requirement that agencies provide appropriate developmental opportunities to meet the needs specified in the individual plans.

For its part, the Commission developed two seminars to help agencies meet their new executive development obligations. The Seminar for Advancing Managers, designed for current managers who are moving up from one managerial position to another, is in the works and will be offered soon at the three Executive Seminar Centers. The other is the Seminar for New Managers—like those who made up the first class in "Science City, U.S.A."

Mark, Bill, Dottie, Tom, José, Tony, etc., spent 8 to 10 hours a day learning about new managership in a model learning environment of brick, glass, and hush-hush carpeting. Built especially for the Executive Seminar Center by the city of Oak Ridge and leased to the Commission, the structure provides an ideal setting in which Government managers can share a learning experience, a setting far removed from the day-to-day pressures of their jobs. Long-distance calls from (or to) the office are discouraged—the purpose being to get the new manager fully immersed in the learning experience for the duration of the seminar. the knowledge explosion gets short-fused when the on-line world gets too close.

The Program

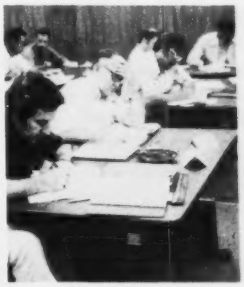
On paper, the new managers' seminar gives the participant a chance to:

- ☐ Learn or sharpen performance-related managerial skills and knowledge.
- ☐ Broaden his or her perception of the role of a Federal manager.
- ☐ Develop a plan for learning how to become more effective in dealing with critical factors in the manager's work environment that strongly influence managerial effectiveness.

These purposes are achieved by means of a program that provides the managers with specific techniques and processes for accomplishing common managerial functions—namely, organizing for effective performance; operational planning and policy making; and leading work groups and team building.

Through lectures, workshops, in-basket exercises, and discussions in small groups, the first group of new

Associate Director Pat Rochelle (r.) chats with Seminar participants during a break between classes.



The class pattern varies from individual work assignments to free-wheeling small group discussions.

New managers trade ideas in the think-tank environment of the Oak Ridge Executive Seminar Center.

managers at the Oak Ridge Center learned about themselves and their new roles. They also learned a new language peppered with strange isms, and Johari Windows, and macro vs. micro approaches to problem solving. In some workshops the participants were divided into orange, blue, green, and gold groups—and in each, a group personality emerged that made for a fierce loyalty even after the group colors were struck and participation as individuals was resumed. (The oranges were aggressive, the blues harmonious, and so on.)

There was talk of change agents and of managerial grids in which the 9,1 manager emphasizes production to the detriment of people relations, the 1,9 manager is overly concerned with people to the detriment of production, and the 9,9 manager learns to balance both concerns—resulting in higher production.

From 8:30 in the morning until 5 or later in the evening every weekday, and in frequent evening sessions, the new managers were saturated with information, bombarded with learning, listened to, talked at, and interacted with. And the mind-blowing process works. On day one they may have been a mad mixture of individuals brought in from all over the map to sit in a classroom together, with nothing in common except that they were all new managers and they were *there*, but by day fifteen they were a group. They had eaten together, gone sightseeing together, talked about their jobs and families together, and learned together about how to make decisions, solve problems, manage change, and resolve conflict.

There was room for a sense of fun about themselves as managers too. Drawing on concepts studied in the classroom, this first group elected and gave prizes at a farewell dinner to the Warmest Fuzzy, Coldest Prickly, Most Synergistic, Most Dysfunctional, and Most Likely To Be Back. "Awards" also were handed out to the staff of the Executive Seminar Center, with a special one reserved for Center Director Bill King when the class spokesman for the occasion said that "the best award we could give you is what happens after we leave here."

The Staff

Bill King, the man who heads up this learning factory, has been director of the Executive Seminar Center in Oak Ridge since it opened 3 years ago, and even before that was project officer during its establishment phase. A dynamic apostle of the get-away-from-it-all school of executive development, he came to Oak Ridge after a successful run of 6 years as director of the Kings Point Center. He does not oversee Center operations from his desk alone, but also gets into the classroom at every opportunity.

With the same enthusiasm he gives to the job, Bill King has taken on Oak Ridge as home. He is a member of several civic and professional organizations, serves as a Trustee of the Oak Ridge Hospital, and he and his wife sing in their church choir.

A native of Iowa and a graduate of the State University of Iowa with a bachelor's degree in political science and master's in public administration, King is a veteran of 17 years of Federal service.

King has drawn to Oak Ridge an equally competent staff of associate directors, each of them part classroom instructor, part Center management.

Starting with the A's, there's Dave Allen, a University of South Florida graduate in political science who did graduate work at the University of Wisconsin and was with a CSC regional training center before Oak Ridge. The Allens are a CSC family—his wife is a Commission investigator.

Next up is Tom Connolly, B.A. from the University of Massachusetts, graduate work at

Coffee breaks give Seminar participants a chance to get to know one another.

Associate Director Dave Allen gets the class involved in a problem-solving situation.

George Washington University in Washington, D.C., with the Departments of Labor and Commerce before CSC, and on the staff of the Kings Point Center when Oak Ridge beckoned.

Tennessee-raised and educated, his accent pure Nashville, G.P. (Pat) Rochelle has a bachelor's degree in history and English and a master's degree in social sciences from Nashville's George Peabody College, with postgraduate work in labor relations at the University of Georgia and Georgia State University. He began his Federal career with the U.S. Post Office in Nashville and was a CSC investigator there before turning to employee development and labor relations work in the Commission's Atlanta Region and then to executive development at Oak Ridge in 1971.

Ed Stewart has been at Oak Ridge since it opened, preceded by a year as associate director at the Kings Point Center and then 3 years with the Commission's central office in the Bureau of Executive Manpower. A history and political science graduate of the University of Pittsburgh, with graduate work in psychology at American University in Washington, D.C., he began his Federal service with the Census Bureau.

Coming down from Washington when their particular expertise is needed for a session is a visiting staff made up of Ed Doherty, Elsie Fischer, Jim Jones, and Tom Ruple.

The Center's support staff seems to have that extra measure of drive and dedication too. There's co-op student Roger Brown, a business management major at Tennessee Tech, who sits in on classes whenever he can and feels "I couldn't be getting better firsthand experience for the work I'll be doing than I am right here at the Center." Joy Brown, assisted by Wilma Swan and Nella Broome, provide the administrative support.

The talents and special skills of the entire staff have been called into play in establishing the new managers' seminar at the Center. Added to the Oak Ridge staff contributions were those of many others in Washington who helped determine the nature of the learning experience and who developed seminar content.

First-Person Report

Listening to Bill King talk about the seminar design phase and the way the first class went, you get some idea of what was involved in setting up a new seminar of this scope. It didn't just happen. Let King tell it:

"A decision was made a long time ago to talk about what it was necessary for managers to have—what were the generic skills, abilities, procedural answers, etc., that people needed to have, that they share in common, to become the most effective managers they can become in the Federal Government.

"And there were all kinds of discussion groups and task forces that were pulled together and we talked about it—there was a front-end planning group that I was on. Most of it was done in and around Washington, and it has gone on for over 3 years . . . .

"They came up with a determination of attributes and abilities needed for the role of middle manager. Then they had to consider a time frame. It was decided that to get these things in a package so they could be handled with a group of folks in an interagency environment would require a minimum of 3 weeks of class time. These pieces were pulled together and a commonsense flow was applied, and things were wrapped together in a pattern.

"They then piloted the program twice down in the Shenandoahs, once in March and once in May, with a group of folks from Washington—kind of a traveling cadre—who put on the program.

An important lesson of residential training is that the class that plays together . . .

. . . and breaks bread together

. . . and relaxes at a weekend splash party together

. . . learns together more effectively.

We had one of our staff members at each of these programs, as did the other Centers, and then after they had a chance to do it once and pound the rough edges off and do it again, it was handed off to us at the Seminar Centers . . . .

"We've had some small problems in the first program because it's so early in the fiscal year—some agencies didn't get the word to their people on time, and there were some mistakes on this first one, but they weren't major. As they came in the door, the majority of the folks knew what it was all about and pretty much why they had been selected. In addition to this, we backstop this information flow from their agencies by telephoning each and every person prior to their coming to the program."

In discussing course content, King had this to say:

"One could say there really is nothing new—even the fanciest approaches aren't new, they're a composite of things done elsewhere. But one of the hard-held requirements of this program that Jim Beck [director of the Commission's Bureau of Training in Washington] outlined—he didn't want a clutch of modules hung together, he didn't want us to go in on the shelf and grab three pieces of this and four of this and strap them together.

"No, it was conceptualized and then articulated and then put into practice, based on all of this research that went into 412-2. There it says that a manager would occupy a position and do most if not all of the following things, and where those things are outlined, we have something that addresses itself to that area. and it is woven together in such a way that when you start on day one you really can't fall out—if you do, you miss really significant parts of it."

There were no fallouts in this class—participants seemed as interested in the sessions during the last week as when they first arrived. The Oak Ridge experience had taken.

Oak Ridge, the City

A big part of the Oak Ridge experience for a Center participant lies in what Oak Ridge is as a city. Tucked away in the Cumberland Mountains, its power packed in by the Tennessee Valley Authority, its very existence of Federal inspiration, Oak Ridge is a unique setting for a learning center.

If you're ever there and you happen to turn up a page in the telephone book headed "Facts About Oak Ridge," you'll see this:

"The story of Oak Ridge is the story of the modern pioneer—the pioneer whose horizons are in the field of science and who, for reasons of national security, worked in secrecy and under living conditions not unlike the boom-town atmosphere of the gold rush a century ago. President Roosevelt made the decision in 1942 that began, in the hills of Tennessee, the creation of a community that at one time numbered 75,000 people.

"Most of the workers, who came from all over the country, knew only that they were engaged in 'work of strategic importance to the war effort,' but never realized that this work was the production of the most incredibly powerful force ever developed by man. The entire community was behind security fences with guards at the entrances demanding identification badges before allowing anyone in or out. It was considered poor form to ask anyone the nature of his work.

"The bomb, which dropped on Hiroshima in August 1945, was the ultimate result of the U.S. Government's multi-million-dollar secret known as Oak Ridge. The dropping of the bomb revealed the secret for the first time to most Oak Ridgers and to the world. After the war, with pressure relaxed, decisions were to be made as to future uses of the Government's investment in Oak Ridge.

"The Atomic Energy Commission was formed to take over the responsibility of operation from the Army. It also inherited the respon-

Concentration

Meditation

Relaxation

Participation

sibility of acting as landlord and city father to the residents of Oak Ridge, a community in which everything was owned and operated by the Federal Government. Citizen groups urged a policy of local autonomy and private ownership and the AEC, very soon after its creation, committed itself to these goals. The security gates were removed in March 1949 in a celebration attended by the Vice President of the United States and many other notables."

That was the Oak Ridge of the 1940's.

Oak Ridge today is another story. Its population checks in at about 30,000, they have 92 square miles to call home, and almost anyone will tell you the nature of his work. They're not sitting on a bomb these days, but Oak Ridge is still a company town, its principal industry geared to production and research in the nuclear energy field.

An Act of Congress in 1955 allowed AEC to sell the homes and land to Oak Ridgers and to give existing municipal facilities to the town. By the start of the 1960's, incorporation under a council-manager charter had been voted in and Oak Ridge was off and running as a city on its own.

With private ownership turning the jerry-built houses into real homes, with local autonomy, not one parking meter in the entire city, and 46 churches to choose from (there's a church everywhere you turn), Oak Ridge is a nice place to live. That makes it a nice place to learn too.

Graduation Day

August 9, 1974, was graduation day for the first participants in the Oak Ridge Seminar for New Managers. They packed up their toothbrushes, a mountain of classroom notes, the Warm Fuzzy prize, and maybe a Tennessee short-leaf pine cone as a souvenir of a Saturday hike. They headed out Interstate 40 or went to nearby Knoxville to pick up a flight, and they went home to Kansas, Oklahoma, Washington, D.C., and points in between.

They went back to new or slightly used jobs as chief pharmacist, regional director, supervisory auditor, program scientist, supervisory computer specialist, and so on. They went back as wiser and probably "older" new managers now that any rough edges had been rounded off in the Oak Ridge experience. They went back as managers better prepared to manage whatever they were hired to manage, including people . . . more sure of themselves, more comfortable with leadership . . . more aware of their own potential.

For Center Director Bill King and staff, that graduation Friday also meant that the second class of new managers would arrive in Oak Ridge the day after next. And when you're in the knowledge explosion business, you don't rest on Sunday.

INTERGOVERNMENTAL PERSPECTIVES

Raymond Urquhart, from AID to Greenville County, S.C., as county executive.

Dr. Nancy Daunton, from NASA to Rockefeller University as research scientist.

Carroll Hanson, from HEW to the Seattle Public School District as school ombudsman.

Ricardo Sanchez, from the City of San Antonio to the U.S. Civil Service Commission as manpower program specialist.

Despite their different backgrounds and professions, these four people have something in common, something they share with 786 other people of equally diverse experience from coast to coast: all were placed in IPA-sponsored mobility assignments in Fiscal Year 1974.

The mobility program is authorized under title IV of the Intergovernmental Personnel Act of 1970 to facilitate the temporary exchange of personnel between Federal executive agencies and States, local governments, and universities for work of mutual concern and benefit. Since its inception in May 1971, every major Federal agency, all 50 States, 238 local governments, and 188 institutions of higher education have utilized the program.

Fiscal Year 1974 saw a record increase in the number of mobility assignments. During each of the 3 years that the program has been in operation, the number of assignments has increased, with 790 out of a 3-year total of 1,504 made in FY 1974 alone. This dramatic growth indicates that participants have come to recognize the program's effectiveness.

Mobility assignments are flexible enough to meet most needs, with those receiving the assignments representing a wide variety of occupations. In FY 1974, 34 percent of the assignments were made in core or general executive management; 20 percent in the sciences; 19 percent in education, social science, and information arts; 11 percent in business, industry, and law; 8 percent in engineering and architecture; and 8 percent in other professions.

Those in core or general executive management assignments brought to their positions expertise in budget, data processing, equal employment opportunity, personnel management, and general administration. Several were placed in key positions where they used their skill and experience to solve critical problems of State and local governments.

As the first County Executive of Greenville County, S.C., for example, Raymond Urquhart, on loan from the U.S. Agency for International Development, ad-

ministered all county departments, commissions, and agencies. Elsewhere, IRS employee Lloyd Price served as the first Commissioner of New Hampshire's new Department of Revenue Administration; State of New Mexico employee Elsie Davidson helped implement a program to increase government employment opportunities for Indians for the Bureau of Indian Affairs; and Prof. Thomas Pavlak of the University of Missouri helped the U.S. Department of Housing and Urban Development evaluate its compliance with the National Environmental Policy Act.

Since the preservation of a clean environment has been recognized as a vital national need, many government agencies utilized the mobility program to increase management capability in such fields as natural resource management, solid waste management, strip mine reclamation, and land and water use. Scientists and engineers on mobility assignments also conducted research on long-term space flight and taught at the university level.

Those with mobility assignments in the social sciences helped manage a human services delivery system in Los Angeles and improve the management capacity of housing agencies in Boston, Philadelphia, and Puerto Rico. Educators on assignment developed innovative school ombudsman and continuing education programs.

The current increase in mobility assignments is expected to continue. In a recent survey of more than 100 State and local chief executives, 70 respondents said they anticipate increased use of the mobility program in their jurisdictions in the near future. The survey also disclosed the encouraging fact that, of 53 jurisdictions in which Federal employees had been placed on mobility assignments, every one had been "satisfied with the overall performance" of the workers.

Chief executives across the country have recognized the value of the mobility program. "Speaking to the experience of our State agencies with the Intergovernmental Personnel Act programs, I can report that I have heard favorable remarks from all the agencies which have participated," declared Idaho Governor Cecil D. Andrews. And California Governor Ronald Reagan said, "If we help develop a pool of managers who have experience in a variety of governmental segments, then we will be helping to improve intergovernmental relations and service to the public."

The IPA mobility program has demonstrated its ability to help State and local governments improve their management capability in a wide variety of fields, from education to budget planning. Its early record of success should encourage more Federal agencies to join forces with State and local governments and universities to utilize the program increasingly for work of mutual concern and benefit.

For more information on the IPA mobility program, contact the Office of Faculty Fellows and Personnel Mobility, Bureau of Intergovernmental Personnel Programs, U.S. Civil Service Commission, 1900 E St. NW., Washington, D.C. 20415, or the nearest USCSC regional office.

—Susan Tejada

THE AWARDS STORY

THE AWARDS STORY

1974 marked the completion of the first 20 years of the Federal Incentive Awards program. During this period the Government has realized nearly $4 billion in tangible benefits from employee suggestions or inventions that improved Government operations or from services and performance that exceeded normal job requirements. Over 2 million employee suggestions have been adopted, and 1.5 million employees have received special achievement awards.

Key Results, FY 1974

Over 225,000 (about 1 in 11) Federal employees were recognized for adopted suggestions or for outstanding performance. Special achievement awards were granted to 118,746 employees, another new all-time record. A total of 47,815 employees received quality increases, a decrease of 6.2 percent over FY 1973.

SUMMARY OF GOVERNMENT-WIDE RESULTS

Extra Employee Contributions	FY 1973	FY 1974
Suggestions Adopted	67,845	59,184
Rate Per 100 Employees	2.7	2.3
Superior Achievements Recognized	112,562	118,746
Measurable Benefits		
Adopted Suggestions	$156,753,490	$118,282,264
Superior Achievements	$119,702,507	$ 78,097,930
Awards To Employees		
Adopted Suggestions	$ 4,202,082	$ 4,472,881
Average Award	$ 88	$ 105
Superior Achievements	$ 16,410,336	$ 16,258,284
Average Award	$ 188	$ 176

MILLION DOLLAR CLUB
Benefits from Suggestions

Air Force	$39,895,042
Army	31,986,955
Navy	30,317,960
Postal Service	6,148,251
Defense Supply	2,382,280
Treasury	1,494,300

Significant Agency Accomplishments

Department of the Army led all agencies in dollar benefits resulting from suggestions, with almost $40 million—over $35 million for the eighth consecutive year.

Department of the Air Force, with tangible benefits from suggestions of nearly $32 million, was over the $30 million mark for the thirteenth consecutive year.

Defense Supply Agency had the highest rate of employee participation in the suggestion program, with a receipt rate of 25.6 suggestions per 100 employees (an agency record) and an adoption rate of 6.8 per 100 employees. Based upon these outstanding results, DSA earned the coveted Performance Award of the National Association of Suggestion Systems for the fourth consecutive year.

Environmental Protection Agency set new agency records for number of suggestions received, receipt rate, number of suggestions adopted, tangible benefits from suggestions, number of special achievement awards approved, approval rate, tangible benefits from special achievement awards, cash awards for special achievements, total tangible benefits, and total cash awards.

Top Suggestion Award

Two employees of the Naval Air Station, Patuxtent River, Md., suggested the use of an audible tank fill warning system that has eliminated several hazards related to the handling of aviation fuel. In the past, tank trucks containing volatile aviation fuel were filled from the top, creating a fire hazard that could have resulted in an explosion. The adopted suggestion allows loading from the bottom of the tank and the warning system alerts the operator when the tank is full. The award of $3,790 was based on estimated tangible saving of $187,420, plus intangible benefits in protecting human life as well as in conserving vital energy resources.

Top Special Achievement Award

Thirty-six employees of the Maritime Administration received a group award of $5,000 for the preparation of documents concerning pollution abatement, which enabled the U.S. Tanker Construction Program to proceed without delay. Members of this group, working within the most stringent time constraints, prepared two comprehensive studies which proved conclusively that improved ship construction technology would cause less environmental damage and thus meet the requirements of the National Environmental Protection Act of 1969. The effective teamwork of these employees prevented the disruption of shipyard schedules and eliminated the requirement for major ship design modifications that would have precluded American ships from competing successfully in the world shipping trade.

Other Significant Awards

A Chicago post office foreman received an award of $3,340 for his suggestion that worn-out parcel post scales be modified, rather than replace more than 27,000 scales across the country. As a result of his creative thinking, the U.S. Postal Service used conversion kits to install larger, more legible rate charts, with a resultant cost saving of $1,938,628.

Takeoffs and landings at Los Angeles International Airport are safer as a result of the outstanding work of 20 employees of the Federal Aviation Administration's Western Region. Their efforts resulted in the efficient construction, installation, and commissioning of facilities highly critical to the safe use of the airport's runways used for over-water approaches.

The innovative thinking of a Panama Canal Company lockmaster (machinist) has saved the Government approximately $210,000. His suggested new method of lubricating rising stem valves at the Canal locks eliminated the need for reconversion of these valves and earned him an award of $1,310, the highest suggestion award granted by the Panama Canal Company during FY 1974.

Members of the Wellsboro, Pa., Field Office of the Soil Conservation Service were extremely effective in helping farmers, townspeople, and communities recover from the massive flood damage caused by Hurricane Agnes. Largely through their imaginative leadership, dedication, and professional competence, extensive restoration work was completed. Hundreds of farmers revitalized their land, miles of stream channels and riverbanks were restored, numerous roads were rebuilt, and untold tons of flood debris were removed utilizing emergency programs. For their outstanding efforts in repair of the flood damage, these employees shared an award of $1,100.

Greater efficiency in fighting fires throughout the Baltimore-Washington area has resulted from a system of computer programs designed by a mathematics aid at the National Bureau of Standards. His innovative programming efforts, which produced highly significant improvements in the ability of fire departments to manage their resources and measure their effectiveness within the community, earned him an award of $1,075.

Ten employees of the Department of the Interior received a group special achievement award of $1,000 for their work with Mine Rescue Team No. 2, in averting a potential disaster in a mine near Vansant, Va., on September 25, 1973. An explosion in the mine left 17 men unaccounted for, but through the dedicated efforts of the Rescue Team all but two of the trapped miners were removed safely to the surface. Members of the team are volunteers and perform their functions in addition to their regularly assigned duties.

—Joe Nordsieck

federal
employees'
compensation
act amendments

QUALITY PROTECTION FOR THE WORK FORCE

by Carvin Cook
Labor Economist,
Employment Standards
Administration
U.S. Department of Labor

LIKE LIFE INSURANCE, it's nice to know you have it, but you hope you won't have to use it.

It's Federal employees' compensation, it's for civilian Government workers, and it's there waiting for you if you or one of your employees should be injured on the job or suffer a disabling, employment-related disease. This "insurance" you have under the Federal Employees' Compensation Act also provides for the payment of benefits to dependents in the event of death from such an injury or disease.

The first major revision of the Act in over 8 years became law (P.L. 93-416) on September 7, 1974. In enacting the 1974 amendments, Congress' express purpose was to update and revise the basic Act so that it would reflect the most equitable methods for compensation of Federal employees disabled while in the performance of their duties.

In commenting on the amendments, Secretary of Labor Peter J. Brennan said, "I am especially pleased with the amendments to the FECA because they will provide quality protection for a very deserving group of workers—Federal employees."

Continuation of Pay

Among major improvements in the law, a highlight is the continuation of pay feature. The Act as newly amended authorizes the employing agency to continue an employee's pay for a period not exceeding 45 days where the employee files a claim under the Act based on a "traumatic" injury.

Prior to the 1974 amendments, compensation was paid from the date wage loss began (subject to the statutory waiting period); however, notice of injury and claim had to be submitted for adjudication by the Secretary of Labor before the U.S. Treasurer was authorized to make payment. As a result, employees were subject to a delay between notice of injury and initial payment, often causing economic hardship for the worker and his family. According to a report by the General Accounting Office, the delay averaged from 49 to 70 days.

The new provision eliminates the interruption in pay for the great majority of injuries sustained by employees. Continuation in pay is treated as such for all purposes, including tax withholding, retirement deductions, etc. This change in the law will not increase the amount of net income for the period immediately following the filing of a claim related to work-connected traumatic injury. It simply eliminates the interruption in pay, while at the same time providing for net payment to an employee of an amount approximately equivalent to the amount that would have been received as compensation.

The continuation in pay provisions became effective on November 6, 1974.

Civil Service Retention Rights

The 1974 amendments add a new feature to the Act to provide certain civil service retention rights for injured and disabled Federal employees, including those in the U.S. Postal Service. The amended Act assures that employees who are injured on the job and are receiving disability compensation will incur no loss of benefits they would have received had they not been injured or disabled—provided that they resume Federal employment. Thus

employees will be allowed to retain their Government-sponsored insurance, and their time on the disability rolls will be credited as active service time for within-grade step increases, retention purposes, and other rights and benefits based on length of service.

The new provision also guarantees that an injured employee will have the right to return to his or her old job or an equivalent position if recovery from the disability should occur within 1 year from the time compensation payments begin.

Even if a disability extends beyond 1 year, the employing agency is to give priority to the placement of the injured worker in his former position or one equivalent to it in that agency or in any other agency.

Although not specifically spelled out in the new amendments, the legislative history clearly indicates that the new provision affords a measure of job protection to employees whose job-related disabilities are partially overcome. In addition, the Senate committee report stated that it was the intent of Congress to authorize the Civil Service Commission to issue regulations covering the job protection rights of workers who fail to completely overcome their job-related disabilities.

Vocational Rehabilitation

The new law will permit the Secretary of Labor to continue the total compensation rate without reduction while a partially disabled worker is enrolled in an approved program of rehabilitation. This will serve to encourage more disabled employees to undergo vocational rehabilitation.

The old provision required a reduction in compensation when an employee's disability changed from total to partial. This reduction in compensation often made it financially impossible for the disabled employee to undertake or continue a training course and forced him to take any available job, regardless of the pay scale and his potential for increased earnings with the training.

Other changes in the law raise the maximum monthly allowance for vocational rehabilitation maintenance from $100 to $200, and the maximum monthly allowance for attendants from $300 to $500 when such services are necessary.

The more liberal vocational rehabilitation benefits should serve to spur additional employees to undergo and successfully complete vocational rehabilitation training.

Expansion of Choice—Medical Services and Facilities

Federal employees now have a choice between using existing Federal facilities for medical treatment or approved private physicians and hospitals. The old law required an injured worker to make use of available Federal facilities and permitted the use of private physicians only if it was impractical to use Federal facilities.

In addition to permitting the employee a choice of facilities and physicians, the new law greatly expands the definition of authorized physicians and available services. The expanded definition includes podiatrists, dentists, clinical psychologists, optometrists, and chiropractors subject to certain limitations. These additional categories reflect a recognition of the need for professional services that should be directly available to the disabled worker. Under the old law, such services were available only through referral by a treating or supervising medical doctor.

Compensation for Damaged Prosthetic Devices

Prior to the 1974 amendments, generally no compensation was payable for the loss of personal property due to accident. Nonreimbursable personal property included such items as artificial limbs and other prosthetic devices. The amended definition of the term "injury" under the Act includes damage to or destruction of medical braces, artificial limbs, and other prosthetic devices.

The new law makes clear that eyeglasses and hearing aids are not covered in cases where such items are accidentally damaged or destroyed under conditions not involving personal injury. Eyeglasses and hearing aids will not be replaced or otherwise compensated for, unless the damage or destruction is incident to an injury requiring medical services.

Coverage of Employees Serving on Federal Juries

Federal employees killed or injured while serving as Federal grand or petit jurors are now covered under the Act as a result of the amendments. The intent of the new provision is to apply coverage on the same basis as if the juror were on a special mission as part of his Federal employment.

Such claims have been rejected in the past on the basis that Federal employees serving as jurors did not come within the statutory definition of Federal employees. The Congress determined that Federal employees who were performing such a vital and important civic duty deserved protection under the Federal Employees' Compensation Act.

Cost-of-Living Increases

As a result of the 1974 amendments, Federal employees will no longer have to wait 2 months for payment of cost-of-living increases in compensation benefits. Prior to the amendments, compensation benefits were adjusted following a 3 percent rise in the Consumer Price Index for 3 consecutive months over the price index for the latest base month, but the law provided a 2-month waiting period before the actual adjustment was made in compensation benefits payable to beneficiaries.

The amendments provide cost-of-living increases for certain groups of employees such as those of the old Federal Public Works Administration, the Civilian Conservation Corps, and the Works Projects Administration who were previously excluded from

receiving the automatic cost-of-living increases provided for by the 1966 FECA amendments.

Benefits to Survivors

The amended FECA provides for equal treatment of surviving widows and widowers, eliminating the artificial differences in entitlement between husband and wife. The new law also liberalizes benefits for surviving spouses generally by 5 percent, with the benefits for a widow or widower without eligible dependent children increased from 45 to 50 percent. If there is a dependent child, the widow's or widower's share is increased from 40 to 45 percent, with an additional 15 percent for each child, up to a combined maximum total of 75 percent.

The amended law also improves benefits for a child if there is no surviving widow or widower, with benefits for a single surviving child increased from 35 to 40 percent.

Receipt of Other Benefits

The new law for the first time allows employees or survivors to receive benefits administered by the Veterans Administration while receiving FECA benefits, as long as such payment is not for the same injury or death. It also permits concurrent receipt of military retirement or retainer pay by a retired member of the Armed Forces, subject to the limitation that an employee will not receive more during his post-injury period than he received before.

The rationale behind this change in the law is that if a Federal worker incurs a job-related injury that is compensable, it is unfair to deprive him of these benefits solely because he is entitled to payments from other sources for different injuries or service. Entitlement to receive compensation payments should be based upon the merits of his present claim.

Addition to Scheduled Awards

Scheduled awards provide additional payment for a prescribed schedule of permanent impairments (total or partial), specifying the number of weeks benefits are to be paid for the loss. The schedule provides awards for the loss or loss of use of anatomical members of the body, loss of vision and hearing, and serious disfigurement of the face, head, or neck that is likely to handicap an employee in securing or maintaining employment. For example, the Act specifies the payment of 312 weeks' compensation for the job-related loss of an arm and 160 weeks' compensation for the loss of an eye or loss of vision in an eye.

Prior to the 1974 amendments, compensation in the above manner was not payable for the loss of an internal or unspecified external organ, such as the loss or loss of use of a kidney. The FECA amendments expand the area of scheduled awards by authorizing the Secretary of Labor to make payments of up to 312 weeks for the loss or loss of use of certain internal and external organs. The heart, brain, and back were specifically excluded from the definition of the term "organ" by the amendments; however, the Secretary of Labor is required to undertake a study as to how these excluded organs can be properly added to the scheduled provisions of the Act.

Other Features

Prior to the 1974 amendments, the law required the Secretary of Labor to review and possibly reduce the compensation of beneficiaries under the Act at the time they reached age 70. This review was placed in the Act in the belief that such persons have a decreased wage-earning capacity. The amendments remove the review requirement, in recognition of the principle that an employee's reaching age 70 should have no bearing on his or her entitlement to benefits.

The revised law also provides that compensation payments will not be paid for the first 3 days of disability unless the disability persists for 14 days as compared with 21 days in the old law. This amendment represents a compromise between the interests of reducing the number of payments for truly minor disabilities and of insuring that even moderately serious injuries will have benefits restored retroactively for the first days lost.

The new law will do much to eliminate the inequity that surrounded the old, complicated statute of limitation requirements of the Act. Before the amendments became law, a number of meritorious claims were denied because of failure of the claimant to file within the 1-year statute of limitation. A new provision extends the period for filing a claim from 1 to 3 years.

In addition, the 1974 amendments direct the Secretary of Labor to conduct a broad-based review of the Federal employees' compensation program and make recommendations to further improve the program.

Bernard E. DeLury, Assistant Secretary of Labor for the Employment Standards Administration, has called the amendments an example of the Federal Government's continuing effort to exert leadership as an employer.

The amendments are also an example of a humane approach to a human problem—what to do if the unexpected happens and you or an employee are disabled by job-related sickness or injury. It's comforting to know that if and when that rainy day comes, you don't have to weather it alone. You now have better "insurance" than you had before.

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SPOTLIGHT ON LABOR RELATIONS

Some 70 labor relations directors and officers from 25 agencies and major field activities gathered at Airlie House, Va., for the 5th annual Collective Bargaining Symposium. Co-sponsored by the Commission's Office of Labor-Management Relations and Labor Relations Training Center, the symposium this year focused on "The Changing Scene of Labor-Management Relations."

OLMR Director Tony Ingrassia fixed the perspective in his opening remarks on the past year's developments: Federal Labor Relations Council general review, including hearings, of Executive Order 11491; House Subcommittee on Manpower and Civil Service hearings on labor relations legislation for the Federal service; new State public employee laws including union and agency shop provisions, and in some cases a qualified right to strike; establishment of CSC's Labor Agreement Information Retrieval System (see *Journal*, Vol. 14, No. 4); extension of the Fair Labor Standards Act to Federal employees; and completion by CSC of two major studies of collective bargaining in the Federal service.

AFGE President Clyde Webber, in his keynote address, reviewed the major current concerns of Federal employee unions.

With this groundwork laid, the program was structured into four daylong topical segments.

Central Policy Issues

Mr. Ingrassia and OLMR's Dan Sobrio set the stage for later discussions by reporting on one of CSC's two major studies, a project to identify and validate the essential elements of a successful labor relations program (see article in this issue of the *Journal*). Willie J. Usery, Director of the Federal Mediation and Conciliation Service and Special Assistant to the President, gave his views on the current Federal labor relations scene.

Workgroups met to discuss five policy issues at the heart of the present program: impasse resolution, scope of bargaining, unit structure, central authority, and union security.

Major Issues and Trends in Bargaining

OLMR's Dave Dickinson reported on bargaining trends that surfaced in the CSC/OMB Survey, a comprehensive review of the collective bargaining process in more than 3,000 exclusive units under Executive Order 11491 (see *Journal*, Vol. 15, No. 1).

In separate workgroups, discussions took place on several of the major bargaining issues, including negotiated grievance procedure, union representatives, promotion policies and procedures, overtime policies and practices, management rights, and classification.

Current Problems and Issues in Administration of E.O. 11491

Executive Director Henry B. Frazier of the Federal Labor Relations Council reported on the Council's current review of the Executive order, and discussed the evolution of its caseload. Jesse Reuben, Deputy Director of the Office of Federal Labor-Management Relations, reviewed the activities and caseload of the Assistant Secretary of Labor for Labor-Management Relations.

Views and opinions emerged in workgroup sessions covering such issues as unfair labor practices, bilateral relationships, unit determination, and interpretation of section 10(e) of the Executive order, which deals with the rights and responsibilities of labor organizations.

Effective Management of Labor Relations

William Brunstad, Assistant Director for Labor Relations at General Motors, gave a picture of a comprehensive private industry approach to effective labor relations management; he described GM's managerial philosophy, its organizational structure, and its negotiating policies. David Charters, Director of Grievance Procedures for the U.S. Postal Service, reported on the experience of the Postal Service in transition from coverage under Executive order to coverage under law.

Workgroups focused on several areas of concern to labor relations managers, including the expanding role of the labor relations function, intramanagement communications, the treatment of nonunit employees, and the function of the labor relations staff.

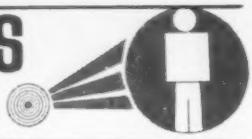
Conclusion: Perceptions of the Federal Labor Relations Program

Conferees in their closing session reviewed and analyzed the data and comments absorbed during the week, focusing on CSC's study of the essential elements in successful labor relations. Central issue in the concluding discussion was the problem of the first-line supervisor, and how to give this vital member of management the tools and support he needs to serve as the focal point for day-to-day problem resolution with employees and union stewards in an overall, integrated management-team approach.

Against the background of a year of rapid and wide-ranging developments in Federal labor relations, agency leaders used the Symposium as a forum for assessing the impact of those developments and charting a course of activity in the coming year.

—Kathryn Hobbie

STANDARDS AND TESTS



The terms "word processing" and "word processing center" crop up frequently these days in discussions and articles having to do with management and administration of the vast amount of paperwork involved in getting the office work of industry and Government accomplished. Sophisticated automatic equipment is being used and new methods, approaches, and procedures are being adopted.

Word processing centers usually centralize the typing, transcription, and composing work of the organization served. To do this the center also brings together in a central location the necessary staff and equipment to produce the work.

Proponents claim impressive improvements in productivity and quality with equally significant reductions in staff and costs. Many see word processing offering expanded "career path" opportunities for movement from clerical and secretarial work into managerial roles. "Space-age typing pools" and "automated ghetto" are terms applied by detractors.

One of the purposes of a comprehensive new occupational standards study recently begun by CSC's Bureau of Policies and Standards is to assess the impact of new equipment and new approaches on the General Schedule jobs affected. Word processing relates primarily to the production of written communications—traditionally the function of secretaries, typists, stenographers, and dictating machine transcribers. Therefore, the four primary occupations to be studied are Clerk-Typist (GS-322), Clerk-Stenographer (GS-312), Clerk-Dictating Machine Transcriber (GS-316), and Secretary (GS-318). These occupations currently account for more than 175,000 General Schedule jobs.

The objective of the study is to insure that evaluation criteria for classifying the jobs—and the job-related knowledge, skill, and ability requirements for staffing them—reflect current trends in all work situations. The new standards will cover conventionally structured jobs as well as assignments in word processing centers.

Three occupational specialists working as a team will make the study, with frequent consultation and participation by psychologists from CSC's Personnel Research and Development Center staff. The occupational specialists will visit agency headquarters and some field installations to interview managers and employees having a direct interest and responsibility in the occupation involved.

These factfinding visits will provide information about such aspects of the work as:

- The types, characteristics, and capabilities of equipment in use.
- The knowledge, skills, and abilities required to operate the equipment and to perform the clerical tasks.
- The extent to which the new machinery and new concepts have resulted in different patterns of assignments (job restructuring).
- The extent to which career ladders, upward mobility, and occupational mobility have been affected.
- The extent to which clearly identifiable new occupations have emerged.
- Other aspects of the work that affect the difficulty, responsibility, or qualifications required.

Another aspect of the "new look" of the approach to this study is that the factfinding and analysis for the classification standards will have to anticipate the possible adoption of the factor evaluation system. If that system, developed and tested by CSC's Test and Implementation Group, is adopted by the time the standards are written, they will be published in the new format.

The new approach requires identification and evaluation of five job factors common to all occupations covered by the system, and tailoring these factors to each of the four occupations included in the study.

The five common factors (and their component elements) are: Factor 1—knowledge required by the job; Factor 2—responsibility (A. supervisory controls; B. guidelines); Factor 3—difficulty (A. complexity; B. scope and effect); Factor 4—personal relationships (A. personal contacts; B. purpose); and Factor 5—environmental demands (A. physical requirements; B. work environment).

While the approach and format of the classification standards may be new, the basic principle of equal pay for substantially equal work and the grade-level definitions in the law will still be the underlying foundation of the General Schedule classification system. Cross-occupational equity will be the guiding concept to make sure that jobs involving duties of comparable difficulty and responsibility and requiring comparable qualifications will be classified in the same grade. Whether they are in the new factor format or in the more traditional narrative style, the new standards will provide evaluation criteria for positions in a word processing environment or in an organization where the assignments are structured along more conventional lines.

Other important considerations that will require considerable attention during the study include acceptable evidence of keyboard proficiency; and identifying and filling jobs on the basis of the level of keyboard skills involved.

January 1975 is the target date for completion of a draft that will be circulated for review and comment by agencies, unions, and other interested organizations.

—William R. Collins

THE FEDERAL EXECUTIVE DEVELOPMENT PROGRAM

by Joseph U. Damico
Director,
Bureau of
Executive Manpower
U.S. Civil Service Commission

1974 marked the beginning of a new program which, though small in scale, is cutting sharply across the prevailing pattern of career development in the Federal service.

The norm has been that managers who reach the GS-15 level generally have moved up through the ranks in their agencies, in rather specialized program areas. At each higher rung on the career ladder, opportunities for work experiences across program and agency lines have become more limited. By the time the individual has become a GS-15 he or she is likely to have become a program or agency specialist, and from that somewhat restricted perspective may move into higher level management.

With respect both to filling top-level managerial posts within existing agencies and programs and to providing leadership in newly created agencies and programs, it has become generally accepted that broad-based managerial knowledge and skills are extremely valuable assets. Further, it is believed that knowledge and skills of this type are best acquired through on-the-job experiences in several managerial settings.

In recognition of this and the currently prevailing managerial career development mode, the Office of Management and Budget, with the cooperation of the Civil Service Commission, established the Federal Executive Development Program. The FEDP was designed to provide in its first year a program of formal management training and interagency developmental work experience for 25 GS-15 managers. The managers would devote a year to this training and work experience in an effort to broaden and sharpen their managerial knowledge and skills.

How Were Participants Selected?

FEDP announcements and application forms were sent to all career GS-15's or equivalent who were registered in the Commission's Executive Inventory. This material also was available in the agencies for eligible managers who did not receive the mailout.

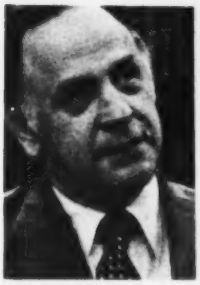
Approximately 3,200 applications were filed. After a series of intensive screening processes in the agencies and in OMB, some 100

Top Government officials who met with the first FEDP class included Roy L. Ash, Director, Office of Management and Budget

. . . Chief Counsel John H. Martiny

. . . Committee Staff Director Roy C. Mesker

. . . Elmer Staats, Comptroller General of the United States.



. . . Rep. David N. Henderson, Vice Chairman of the House Post Office and Civil Service Committee

finalists were selected to participate in an assessment center operated specifically for FEDP by the Commission. The assessment center was developed to evaluate the candidates on their performance in a wide variety of simulated managerial assignments. The final step was for a panel composed of top public service career officials, using all the information available about the finalists, to select the 25 FEDP participants and several alternates.

Characteristics of Those Selected

Those selected for the FEDP were a varied group. It is interesting to compare them as a group with the total GS-15 population.

The FEDP group is younger, having a median age of 42, as compared with a median age of 51 for the total population. They have fewer years of Federal service: 19 years, as compared with 24 years for the total population.

Further, those selected for the FEDP have moved more rapidly through GS grades 11-14, spending on the average a total of 8.2 years in these grades, compared with an average of 12 years for all GS-15's. More of the FEDP group are women (10 percent of those in the FEDP vs. 3 percent of the GS-15 population) or members of a minority group (15 percent vs. 4 percent).

FEDP selectees are far more apt to be in administrative occupations than GS-15's in general (52 percent vs. 23 percent) and far less apt to be in professional occupations (12 percent vs. 46 percent). Along the same lines, far more of the FEDP group have master's degrees (52 percent vs. 28 percent) and fewer have doctorates (13 percent vs. 23 percent). Almost 60 percent of those in the FEDP have completed significant education after entering Government, compared with only just over a quarter of the total GS-15 population.

FEDP selectees also have expressed much more interest in training courses than is true of other GS-15's. The disparity between the two groups is most marked in their interest in training in Government policy and operations (85 percent to 32 percent), public administration (63 percent to 33 percent), and public speaking (48 percent to 18 percent).

None of those selected for the FEDP expressed reluctance to change jobs, compared with 21 percent of the total population. Only a quarter of the GS-15's in general had received as many as three awards from their employers, while 41 percent of the FEDP group had.

Most of the distinguishing characteristics of the FEDP group, as opposed to those of the total GS-15 population, are directly associated with the objective of the program. The objective was to select a small group of highly talented individuals for development for future assignments in broad managerial areas, not for assignments in more restricted professional or program areas.

Phase I, FEI Training—Residential Session

The first developmental phase of the program began in March 1974, with an 8-week residential program at the Commission's Federal Executive Institute in Charlottesville, Va. The FEI training featured a core curriculum covering the role of the Federal executive, policy and budgetary processes, the Federal political and administrative environment, and modern management systems and practices.

In addition to individualized learning experiences, the FEDP participants had an opportunity to interact with incumbent executives who also were attending the FEI residential program. This provided an excellent opportunity for these potential executives to explore firsthand some of the challenges they will face in the future.

Meetings With Top Officials

The Administrative Systems and Processes Workshop portion of the FEI program featured a field trip to Washington where the FEDP class met with a number of top Government officials. The purpose of these meetings was to discuss Federal administrative systems and processes as perceived by officials at the highest Government echelons and to identify specific areas to be explored further during the individual developmental assignment phase of FEDP.

Federal officials who met with the class included Roy Ash, Director, Office of Management and Budget; Rep. David Henderson, Vice Chairman, House Post Office and Civil Service Committee, and Chairman, Subcommittee on Manpower and Civil Service; Frederic Malek, then Deputy Director, Office of Management and Budget; John Martiny, Chief Counsel, House Post Office and Civil Service Committee; Roy Mesker, Staff Director, House Post Office and Civil Service Committee; Edward Preston, then Assistant Commissioner (Stabilization), Internal Revenue Service, and also Project Manager for FEDP; Bernard Rosen, Executive Director, Civil Service Commission; and Elmer Staats, Comptroller General of the United States.

This series of meetings afforded a rare opportunity for FEDP participants to engage in face-to-face discussions with key Government figures.

Phase II, Developmental Work Assignments

The second phase of FEDP, developmental work assignments, is now underway. Each of the participants worked with staff members of the Office of Management and Budget and the Civil Service Commission to arrange appropriate work assignments.

To find out, from the viewpoint of participants, how the developmental assignments are working out, we talked with Maurice Fowler, Michael Gall, and Paul Mahoney.

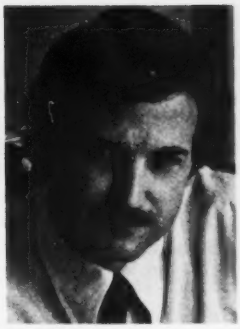
Maurice Fowler is a GS-15 manager who has completed all of his course work toward a doctorate in urban affairs. He is currently on a developmental assignment with the New Communities Administra-

tion, Department of Housing and Urban Development, in Washington, D.C. This doesn't seem unusual until you consider that Maury's regular position is Chief of the Procurement and Production Division for the Airborne Warning and Control System Program Office in the Air Force Electronic Systems Division, Bedford, Mass.

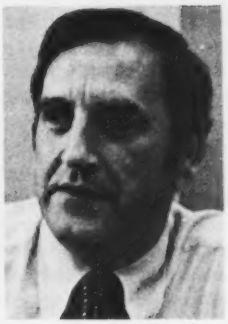
Michael Gall is a GS-15 manager who is on developmental assignment as Special Assistant to the Director of the Civil Service Commission's Bureau of Manpower Information Systems. Mike's regular position is Head of the Management Information Systems Department of the Naval Facilities Engineering Command Facilities Systems Office, Port Hueneme, Calif.

Paul Mahoney is now a GS-16 and Director of the new Federal Employee Appeals Authority in the Civil Service Commission. One year ago, Paul was the GS-15 Administrator of the Army Civilian Appellate Review Agency in Washington, D.C.

FEDP participants ... Maurice Fowler



... Michael Gall



... and Paul Mahoney

Q. & A. Comments

They commented as follows:

Q: Paul, was your selection for FEDP a factor in Chairman Hampton's decision to appoint you as the first Director of the Federal Employee Appeals Authority?

A: I feel that it may have been. Near the end of the formal training phase of FEDP at the Federal Executive Institute in Charlottesville, I received a call to return to Washington for an interview with Chairman Hampton. Although I can't be certain, it seems that my earlier selection as one of the 25 GS-15 managers in Government to participate in FEDP had to be a plus factor when the Commission was narrowing down the field of candidates for the job of FEAA Director.

Q: Mike, did FEDP bring you to Washington?

A: Yes, until my selection for FEDP, I was managing a large Navy data processing function on the west coast, and moving back east was really not in my career plans. Shortly after my selection, a friend of mine from the Office of Management and Budget mentioned that Gary Bearden, the Director of the Commission's Bureau of Manpower Information Systems, would be willing to interview me for a special assistant position as my first FEDP working assignment.

I was also interviewed at several other agencies in Washington, but Gary and I agreed that it would be mutually beneficial if my first assignment were in the Commission. This assignment has really worked out well, as I have had an opportunity to function in a line management capacity as acting bureau director when Gary has been away representing the Commission.

Q: Maury—like Mike, you came from a field installation in Washington. How did you manage to locate a developmental assignment in HUD that is so different from your regular position as head of an Air Force electronics systems procurement function?

A: Despite the fact that all of my career has been in DOD procurement, I have always had an intense interest in the problems of our cities, and I have been working toward a doctorate in urban affairs for several years at my own expense. During the developmental assignment interview phase of FEDP, I expressed this strong interest. To make a long story short, I was sent to HUD for an interview and accepted a developmental assignment with the New Communities Administration.

I was assigned to a "new town" project, and this gave me the opportunity to actually work firsthand on real urban planning and renewal-type projects. This project involves the creation of a new community (a new town) within an existing urban area. I've had to dig into all areas of community development planning, particularly the environmental effects of population density.

Q: Paul, what is your overall impression of FEDP?

A: A major advantage of FEDP is that it provides an opportunity for a GS-15 to try out a managerial role in a completely different career field on a trial basis. Even though I personally did not get that chance because an even greater opportunity came my way, I was originally attracted by the notion of being given a challenging assignment in a different agency and field. This is something very difficult to do once you get above a certain grade level.

My experience with the formal training phase of FEDP was most

valuable. The Federal Executive Institute experience gave me a chance to learn how to better manage my own time and also how to manage organizational resources. Interaction with other FEDP participants and also with executives at the regular FEI program makes you realize that your managerial problems are not unique, nor are they as big as you originally thought. The FEI experience helps you to get a more objective view of your own place in the whole of Government.

Q: Mike, how do you feel about FEDP?

A: I have spent my entire 17 years of Government service in the Department of Defense. FEDP gave me an opportunity for a mobility assignment outside DOD. One of the main reasons I chose the Commission for my initial developmental assignment was because the job I have provides contact with all other Federal agencies. I am getting a clearer picture of what the entire Government really looks like and how other agencies operate.

Although I realize that one of the main objectives of FEDP was to broaden participants to make each of them more of a generalist manager, I don't think that one necessarily has to change occupational career fields in order to broaden managerial abilities. Management of ADP operations has not been able to keep pace with the rapid technological advances in the ADP field, and there is much to be done in this area.

I view my FEDP assignment as both technically and managerially developmental, and I agree with Paul that the FEI experience was superb.

Q: Maury, have you anything to add?

A: Everything Paul and Mike have said is true. The FEI experience was especially valuable for someone like myself from a field installation. The course was designed to give each FEDP participant a chance for self-reflection—something you never have time to do during the constant demands of your daily routine.

I also enjoyed the interaction with the other FEDP class members and the executives who were attending the regular FEI program. Interaction with high-level managers from many Federal agencies gives you a completely different perspective on the way the Government functions and the way its operations are affected by political considerations and other outside pressures.

I was surprised at the similarities between the managerial duties of my regular position at the Air Force Electronic Systems Division and the developmental assignment at HUD. There is a great deal of transfer of management concepts and techniques, especially since both positions require extensive dealings with the private sector.

I would also like to point out that FEDP benefits both the participants and the agencies to which they are assigned. How else would an agency get the services of a GS-15 manager without having to pay salary and benefits? FEDP participants can provide fresh insights and new ideas if they are given the chance, as I was, to actually manage programs.

Advancement Opportunities

FEDP carries no built-in promise of reassignment or promotion, but the developmental experiences should make its graduates prime candidates for a wide variety of positions requiring managerial and executive capabilities. The program brings participants into contact with many top Federal officials, which enhances career opportunities Government-wide.

OMB and the Commission will help agencies identify appropriate positions for FEDP graduates, and those who complete the program will be so identified on all personnel forms and records. Completion of the program will also be considered in making referrals from the Commission's Executive Inventory for executive positions.

The Second Year

FEDP in its second year (1975-76) is being managed by the Civil Service Commission, but we are continuing to work closely with the Office of Management and Budget. The Bureau of Executive Manpower is the lead bureau within the Commission, with considerable assistance from the Federal Executive Institute, the Bureau of Policies and Standards, and the Bureau of Training—all of which also contributed substantially to the initial FEDP.

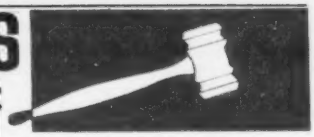
There are slight differences in the size and focus of the 1975-76 FEDP (referred to as FEDP-II). For example, there will be 35 persons selected to participate in the program, an increase of 10 over last year. In addition, the primary emphasis of FEDP-II will be on providing for each participant the combination of experiences needed to develop his or her capabilities for assuming higher level managerial responsibilities in the employing agency.

Thus the substantive changes made for FEDP-II include: (1) greater agency participation in the selection process, (2) a close relationship between the program and manpower requirements in participants' employing agencies, and (3) a provision for each participant to have at least one developmental work assignment in the employing agency.

The Federal Executive Development Program is obviously only a part of current Government-wide efforts aimed at improving the management of Federal programs. Its scale is small, and it is not designed to meet the full needs of the Government for top-level managerial talent. The bulk of these needs will be met by agency-oriented development programs.

But FEDP has its place in the total picture. It is expected to produce versatile managers with the capability of working effectively in a variety of organizational settings and in a range of programs. We need this type of managerial skill to meet the kaleidoscopically changing priorities and imperatives of the modern world. #

APPEALS DIGEST*



*Significant Decisions of the Appeals Review Board

Reduction in Force

Bona fides of RIF

The Commission's first appellate level office, after an earlier decision had been rescinded and remanded to that office by the Board for a review of the issue of bona fides, issued a decision reversing the agency action in separating appellant by reduction in force. The first appellate level office decision was based on a finding that the decision to abolish her [appellee's] position and to separate her by reduction-in-force action was influenced by, and resulted from, reasons that were personal to the appellee (i.e., her job competency).

The agency contended on appeal to the Board that there were valid reasons for abolishment of appellant's position, and that the first appellate level office misinterpreted agency testimony with respect to appellant's competency and the decision to abolish her position.

Although there was substantial testimony in the record to support the argument that the agency was undergoing a major reduction in force at the time appellant's position was eliminated, the Board also found that the record reflected that consideration of appellant's competency significantly influenced the decision to abolish her position. Specifically there was testimony at the hearing which the Board regarded as an admission that the decision to eliminate appellant's position was directly (and therefore significantly) related to a consideration of her competency.

Accordingly the Board affirmed the Commission's first appellate level office decision.

Acceptable Level of Competence

Effective date of step increase

The appellant was denied his within-grade salary increase based upon the determination that his work performance was not at an acceptable level of competence. The appellant had not been given a warning notice concerning deficiencies in his work performance at least 60 days prior to the completion of his waiting period.

As a result, and acting in accordance with section 531.407(c)(5) of the regulations, the agency made another determination of the appellant's level of competence not more than 60 days subsequent to the end of the appellant's waiting period. This redetermination was favorable and the within-grade salary increase was granted, effective as of the commencement of the pay period beginning on or after the date of the redetermination.

The Board found that when "another determination" is made because of failure to give a 60-day warning notice, and that determination is favorable, the within-grade increase becomes effective retroactively to the original due date. To allow the increase to become effective prospectively would be to penalize an employee unduly for lack of a positive management responsibility, i.e., a warning notice provided for by the regulations.

Accordingly the Board found that the within-grade salary increase in this case should have been effective retroactively rather than prospectively.

Equal Employment Opportunity

Reprisal

Complainant sought counseling by an EEO counselor in connection with a 10-day suspension from duty without pay for insubordination and failure to follow instructions. Complainant's representative subsequently wrote to the Civil Service Commission, alleging that the 10-day suspension had resulted from reprisal by the agency for the representative's efforts on behalf of another employee in an EEO matter, and requested that the matter receive prompt handling rather than have it go through the usual procedures. The letter was forwarded to the agency for processing under section 713.262(b) of the civil service regulations, which provides for an inquiry rather than a formal investigation and does not provide for a hearing or a right to appeal to the Commission. The agency issued a decision on the charge on July 27, 1973.

On September 7, 1973, the complainant contacted the same EEO counselor with whom he had discussed his earlier allegation of reprisal, and on September 20, 1973, he filed a formal complaint. The agency issued a decision on January 9, 1974, refusing the complaint of September 20, 1973, on the grounds that it concerned the same 10-day suspension and was based on the same allegation of reprisal as the previous charge.

The Board affirmed the agency's decision in that the regulations do not provide for the processing of an allegation of reprisal both as a charge subject to section 713.262(b) and a complaint subject to sections 713.211 through 713.222.

Death of appellant

Complainant resigned from a clerical position after 10 months' service. In July 1973 he was reinstated as a laborer subject to satisfactory completion of a probationary period. In September 1973 he was notified that his services were being terminated for failure to meet requirements of his position.

Complainant contacted an EEO counselor and alleged that his separation was the result of discrimination due to national origin (French). After a preliminary investigation, complainant filed a formal complaint. He subsequently died, and on February 6, 1974, the agency canceled the complaint.

The Board rescinded the agency decision to cancel the complaint and remanded the matter to the agency

for processing under part 713 of the civil service regulations on the grounds that the complainant had filed a formal complaint prior to his death and that he had provided sufficient information on which the agency could proceed with the processing of his complaint.

Adverse Action

Answer to notice of proposed adverse action

Appellee was demoted due to falsification of pay status (sick leave). His oral reply questioned the propriety of his demotion from WS-10, step 3, to WG-10, step 2. The reply was made to one of the two agency officials designated in the advance notice to hear it. The other official was the deciding officer. The Commission's first appellate level office found that although the officer to whom appellee actually responded was authorized to recommend a final decision in the matter, he did not do so, in contravention of the intent of section 752.202(b) of the Commission's regulations.

The Board reversed the first appellate level decision, finding that under the circumstances presented, no fatal procedural error had occurred. The Board's decision was based on several factors. First, the nature of the oral reply was directed toward an issue that was a matter of regulation and not agency discretion. Second, the reply officer did report to the deciding officer what had transpired at the oral reply, and by not suggesting any change in the action he tacitly communicated acceptance of the form of the action taken. Third, section 752.202(b) of the regulations provides only that the one designated to hear the reply have authority to make a final decision or to recommend one; it does not require that person to actually recommend a decision. Finally, the oral reply was given consideration in reaching the final decision, as section 752.202(b) requires. Therefore, no violation of either the letter or the intent of the regulations was found.

The file was returned to the Commission's first appellate level office for an adjudication of the remaining procedural aspects, as well as an adjudication of the merits of the case.

Attendance requirements (general)

The appellee was changed to a lower grade and from a supervisory to a nonsupervisory position based on a charge of inability to function satisfactorily as a supervisor due to his poor attendance record. The Commission's first appellate level office reversed the action, finding that the agency failed to prove the charge, but instead only presented evidence of appellee's absenteeism.

The Board affirmed the first appellate level office decision, stating that although the agency presented evidence substantiating appellee's many absences from duty, no evidence in support of the charge was presented. The agency contended that the appellee's inability to function satisfactorily as a supervisor was a natural consequence of his absenteeism. However, the Board found that in the absence of any evidence to that effect, the mere assertion was not sufficient to sustain the charge.

The Board pointed out that the agency had the burden of proving the charge and had not done so. Not only were the appellee's absences approved, the Board noted, but also no instances of poor supervisory conduct were set forth.

The Board concurred with the Commission's first appellate level office in finding that it was not proper for an agency to approve leave and then charge the employee with "inability to satisfactorily function as a supervisor due to poor attendance" for taking that leave.

Retirement

Survivor annuity—illegitimate children

The appellant appealed to the Board from a decision of the Commission's Bureau of Retirement, Insurance, and Occupational Health that her children were not eligible for survivor benefits as the illegitimate children of a deceased Federal employee because they did not appear to meet the "living with" requirement.

Under the definition of "child" embodied in 5 U. S. C. 8341(a)(3), acknowledged illegitimate children may be entitled to a survivor annuity if, among other requirements, they lived with the employee in a regular parent-child relationship. "Living with" has been construed as meaning that the child and the parent shared a common roof under conditions that indicated more than a mere coincidence of residence. Periodic or temporary separation does not bar "living with" if the circumstances indicate that the child and parent have shared and again expect to share a common roof or resume a common residence when conditions permit.

The Board considered affidavits submitted by the appellant concerning the decedent's residence and his relationship with appellant's children. The disallowance had been based upon receipt of public assistance paid to the children upon representations by appellant that the father never resided with them. The Board found that the new evidence supported a finding that the decedent did in fact live with the children, and the decision of the Bureau was reversed.

—William P. Berzak

☐HIGHEST PRAISE. President Ford told the five career officials who received Rockefeller Public Service Awards: "On behalf of the American people, I wish to thank you for a job well done. Your example is an inspiration. It does give a guiding hand to others, those who are your fellow workers. And I hope this ceremony, like those in the past, will give an inspiration to others, your associates in all departments, and I hope that it will in some way give the American people the proper respect and admiration for those who have excelled in service to their fellow men."

For as long as there has been government, he said, it has been fashionable to attack bureaucracy and bureaucrats, sometimes for good and sufficient reason. "But," he added, "the fact remains that career public servants who do keep the vast and highly essential day-to-day business of Government moving year after year, are a vast and a very loyal group of good people doing good work for their country."

Career officials honored this year are: James B. Cardwell of the Social Security Administration; George Jaszi of the Department of Commerce; George M. Low of the National Aeronautics and Space Administration; Maurice J. Williams of the Agency for International Development; and Robert M. White of the National Oceanic and Atmospheric Administration.

#

☐ABSENCE for maternity reasons. New guidelines on leave for maternity (or paternity) reasons for Federal employees have been published as a supplement to the Federal Personnel Manual:

—The former suggestion of 6 weeks' absence before birth and 8 weeks after has been removed from the instructions, with no time specified. The length of absence is to be determined by the employee, her physician, and her supervisor on an individual case basis.

—The same policies, regulations, and procedures that govern leave generally should be applied in the case of pregnancy.

—The employing agency's responsibility for providing continued employment in the same or a comparable position following maternity absence is emphasized.

—Employee and agency responsibilities are spelled out.

—Male employees may be granted annual leave or leave without pay, but not sick leave, for assisting or caring for minor children or the mother of a newborn child while the mother is incapacitated for maternity reasons.

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☐SURVIVOR REDUCTION. Under the provisions of a law signed by President Ford on October 26, a Federal civil service annuitant who has had his or her annuity reduced in order to provide survivor coverage will have the reduced amount restored if the marriage is dissolved by death, divorce, or annulment.

The annuity will be recomputed to eliminate the reduction beginning with the month following the month in which the marriage was dissolved. The new law applies to any Federal civil service annuity regardless of its commencing date, but no increase in any annuity may be paid for any month prior to November 1974.

All current annuitants will receive information about the new law with checks mailed December 1. This information explains the provisions of the new law and includes a form to be submitted by any annuitant who is entitled to an adjustment. The Civil Service Commission emphasized that no annuity can be adjusted until such information has been received.

Upon receipt of a request, the Commission will make the adjustment as quickly as possible. No annuitant will suffer financial loss while the adjustment is being made since all payments will be retroactive to the initial date of entitlement under the law.

The amount an annuity had been reduced and the amount that would therefore by restored to eligible annuitants would vary according to the amount of annuity at the time of retirement, the date of the retirement, and cost-of-living increases effective on or after that date.

Since October 11, 1962, retiring employees who elected a survivor benefit have had their annuities reduced by 2.5 percent of the first $3,600 of pension plus 10 percent of any amount in excess of $3,600. A greater reduction in annuity was applied in the case of individuals who retired between January 1, 1940, and October 10, 1962.

Should an annuitant remarry after his or her annuity has been restored under the law, the annuity will be reduced by the same percentage that was in effect at the time of the employee's retirement. The new wife or husband will become qualified for the same survivor protection as the former spouse after the marriage has been in effect for 1 year, or after a child is born of the marriage—whichever occurs first.

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☐PACE competition brisk. Some 91,000 college-level applicants were scheduled for the first Professional and Administrative Career Examination (PACE) in November. Subsequent exams are to be given in January, March, and May.

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☐BLUE-COLLAR STANDARDS revised. The Commission has completed a basic set of 117 standards for grading nearly 525,000 Federal blue-collar workers. While these standards apply directly to 90 percent of the blue-collar work force, they also provide the guidance needed by classifiers to determine appropriate grade levels for the remaining 10 percent.

A continuing goal, under the former system as well as the now-statutory system, has been the development of common job-grading standards, which would insure that employees doing like work would be classified at the same grade level, regardless of the agency in which employed or the location in which assigned. The new standards meet this objective.

Completion of the standards constitutes a major advance toward the goal of equal pay for equal work, Commission officials said.

Some grade level changes will result as the remainder of the new standards are adopted, but the grades of approximately 90 percent of the blue-collar work force will not be changed. For the remaining 10 percent, the number of upgradings and downgradings are expected to be about equal.

Employees whose jobs are downgraded as the final group of new standards is applied will receive benefit of "saved pay," provided they are converted within 6 months of the time the new standard covering their particular occupation is published. All agencies were previously urged to insure that the standards are adopted promptly. Employees affected by previously issued standards received similar pay benefits provided that actions were taken before October 1, 1974.

Under the "saved pay" provisions, an employee whose job is downgraded by application of a new standard retains his current rate of pay indefinitely, and receives one-half of each future pay increase until the regularly scheduled rate of pay for his grade catches up with the saved rate.

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☐FLEXITIME. The Civil Service Commission has published a booklet titled *Flexitime* to acquaint agencies and organizations with the concept of flexitime working hours, to help organizations determine the concept's feasibility for them, and to offer guidance for the planning, development, and implementation of flexitime. Although the supply is limited, single copies of the booklet may be obtained from the Bureau of Policies and Standards, U.S. Civil Service Commission, Washington, D.C. 20415.

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☐PERSONNEL INTERCHANGE totals. Since mobility assignments under the Intergovernmental Personnel Act began in May 1971, there have been 1,754 interchanges: 1,051 from Federal agencies to States, local governments, and educational institutions; and 703 from them to Federal agencies. Federal agencies that have participated in more than 100 assignments as of the end of September included Agriculture, HUD, Labor, HEW, and the Environmental Protection Agency.

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☐SUMMER JOBS. The filing deadline for 1975 summer jobs with Federal agencies is January 17. No test applications postmarked after the 17th will be accepted. The test is scheduled for February.

The Commission urges students to file early for the test to enhance their chances for employment. Each summer about 10,000 positions are filled from a pool of more than 100,000 candidates who qualify in the test. About 8,000 of the jobs filled are clerical, and approximately 2,000 are aides in engineering and science occupations. Complete instructions for filing and information on opportunities available are contained in CSC announcement No. 414, *Summer Jobs in Federal Agencies.*

—Ed Staples

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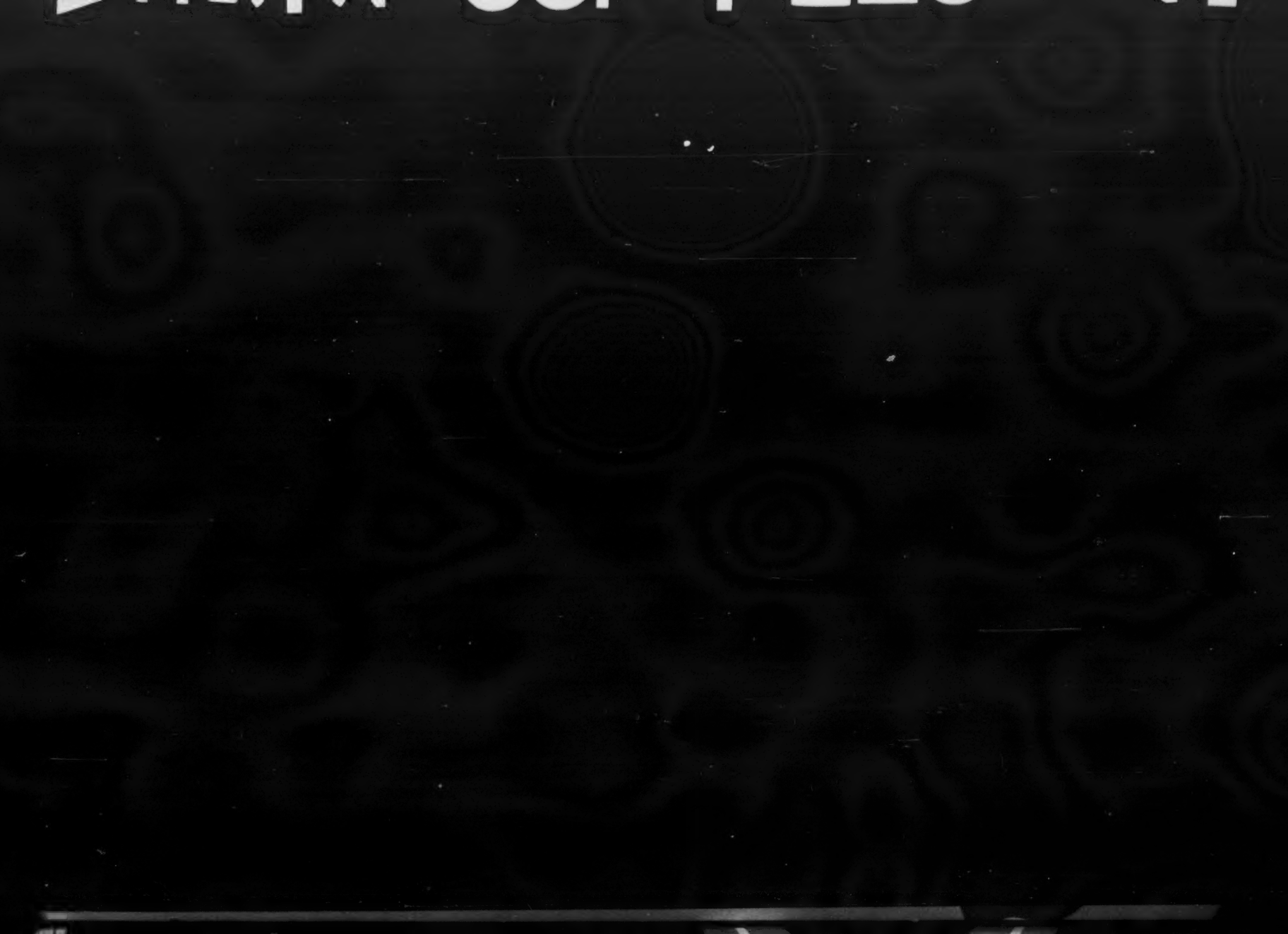
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